IMPROVISATION IN MOZART'S KEYBOARD MUSIC:
A Performer's Approach to his *Eingänge* and Cadenzas

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INTRODUCTION

During my time teaching fortepiano and harpsichord at the Jacobs School of Music for the past several years, I have been collecting and formulating devices and gestures for students, as well as for myself, to enhance improvisational skills in music of the Classical era. During the process of improvisation, the performer essentially takes on the role of a composer, directing the musical form and storylines and expressing him- or herself through a varied toolbox of devices. I have been fascinated by how much one can learn about musical style, expression, rhetoric, and articulation through improvisation.

Focusing on analyses of Wolfgang Amadeus Mozart's written-out examples, this study serves as a guide to his improvisatory style by giving readers the tools to understand the characteristic figurations and elements that are featured in his *Eingänge* and cadenzas. To support my pedagogical approach, I shall refer to treatises on figured bass in Baroque music, the systematic tonal language in the music of the Classical period, the practice methods for jazz improvisation, as well as primary sources—such as the well-known German performance manuals by Daniel Gottlieb Türk and Carl Philipp Emanuel Bach for keyboard and those by Johann Joachim Quantz for flute, Leopold Mozart's for violin, and the Italian Pier Francesco Tosi's for voice—all of which address eighteenth-century taste, style, and ornamentation that are essential to keyboard performance. I will also discuss modern publications, such as Frederick Neumann's and Paul and Eva Badura Skoda's books on written-out ornamentation, as well as works by music theorists and musicologists such as James A. Hepokoski and Warren Darcy, Leonard G. Ratner, and Sir Donald Francis Tovey, who address form, style, and topic. Just as jazz performers are assisted by a systematic method containing harmonic symbols, scales, and styles, enabling musicians to react to these elements immediately, classical musicians can also

benefit from a common improvisatory vocabulary. The purpose of this study is to provide musicians with a systematic pedagogical and practical method to understand and facilitate improvisation in the Classical style.

This dissertation is divided into four parts according to the length of improvisatory connective figurations, especially those in the retransition of piano sonatas and in Mozart's *Eingänge* and cadenzas. Part One contains material that can be applied to pedagogical techniques for teachers and beginning improvisers. Further studies on analysis and practices for the intermediate level are found in Part Three, which concludes with schematic exercises which serves as an introduction for improvising a more sophisticated cadenza. Part Four summarizes the aforementioned contents for advanced improvisers who are ultimately applying them in live performance.

Starting with a discussion on the connective passages between retransition and recapitulation that later evolves into *Eingänge* in his piano works, Part One analyzes the extant improvisational vocabulary in short examples of Mozart's piano sonatas. These brief passages provide ideal models for building tasteful improvisation that reflects eighteenth-century style. Part One also reviews the rhetorical background and gestures of eighteenth-century musical aesthetics and philosophy, which are essential to understanding the stylistic context of improvisation.

Aesthetically, discussions about ornamentation suggest both a form for composition and an art of embellishment. Becoming acquainted with artists' reactions to the social milieu, philosophies, and expressions popular in that time and acquiring knowledge about the circumstances surrounding a piece enhance one's understanding of this period's musical language; other aspects of the Classical era through decorative art, including furniture, interior

design, and painting are introduced. It is my hope that Part Two will spark one's imagination when using the keyboard instrument to improvise, as a presenter in the public entertainment sphere, to recite music and tell a story that is visually and emotionally compelling to communicate with the audience.

For a better understanding of how Mozart's improvisatory language developed, the chapters on *Eingänge* in his piano concerti, in Part Three, analyze the critically important role of figured bass and Classical tonal structures within his written-out examples; these provide musical models that can be added to one's improvisational vocabulary through imitation, practice, and transposition. Part Three also examines topical contents and schematic approaches to the *Eingänge* in slow movements as well as fast rondo movements, which include several types of schemas: a basic two-section plan with energy-gain and energy-loss, a more structural three-section design which includes middle development, and a fantasia-like five-act structure.

By formatting a schema, an improviser can develop his or her ability to combine various materials to create a new and more sophisticated language. Part Four provides a review and collective charts from the earlier chapters as applicable to cadenzas and offers a more refined approach for stage performance. Thereby, a comprehensive method can be created by constructive classification system without true distinctions between categories. An improviser can learn not only from the notes but can also develop the sensibility, aesthetic, and musical taste that are a part of the essential skill and incorporate them into their memory and practice. Eventually, an improviser will be able to develop a language by reinventing, imitating, and disguising themes or inserting them into a stylistic live improvisation.

PART I: SPONTANEOUS CONNECTIVE GESTURES IN PIANO SONATAS

Part One examines written-out connective gestures that present spontaneity in Mozart's piano sonatas. Specifically, this section considers the connective elaborations that lead from the end of a retransition, that occur at the end of the development section in sonata form, or that are present before the theme in a rondo arrives at a dominant preparation that sets up the reappearance of the tonic refrain. The location and function of these connective passages within Mozart's piano sonatas correspond to his *Eingänge* and cadenzas in piano concerti; moreover, the gestures in these sonata figurations serve as a guide to Mozart's improvisatory style in his *Eingänge* and cadenzas and demonstrate the stylish grace, emphasis, and persuasiveness that these gestures can impart on his music as a whole.

CHAPTER ONE: BRIEF CAESURA-LINK AND CAESURA ARCH

Ad libitum "Caesura-Link"[1]

These spontaneous connective gestures, where specific musical passages that signal an imminent return to the tonic can be traced in Mozart's piano sonatas between the retransition and refrain, on the dominant. The retransition features energy intensely locked on the dominant; the dominant pedal conveys a sense of blockage that requires a space, either a musical pause or relaxation, to generally release the tension and prepare for the theme's return in the tonic key. The space is brief, spanning two or three measures, and it is filled with gestures and figurations whose upbeat leads to the main theme's return on the tonic. This type of passage shares the same characteristic features with passages that Hepokoski and Darcy call "caesura-fill." As they explain, the caesura-fill is:

> …the technique of implying that gap but filling it in with a brief sonic link in one voice (or, sometimes, in more than one). One function of this link is to articulate with sound the most important expressive obligation of this moment: the representation of the energy-loss that bridges the vigorous end of TR (MC) to what is frequently the low-intensity beginning of S (part 2).[2]

Later, they point out that this connective space is an independent element:

> We refer to this filling-in of the generically implied "silence-plugging" till the MC gap as caesura-link (CF). Caesura-link is part of neither TR nor S: it represents the sonic articulation of the gap separating the two zones. When the implied general pause-gap is brief (a beat or two, the mid-eighteenth-century norm), the presence of caesura-till presents no problem of identification.[3]

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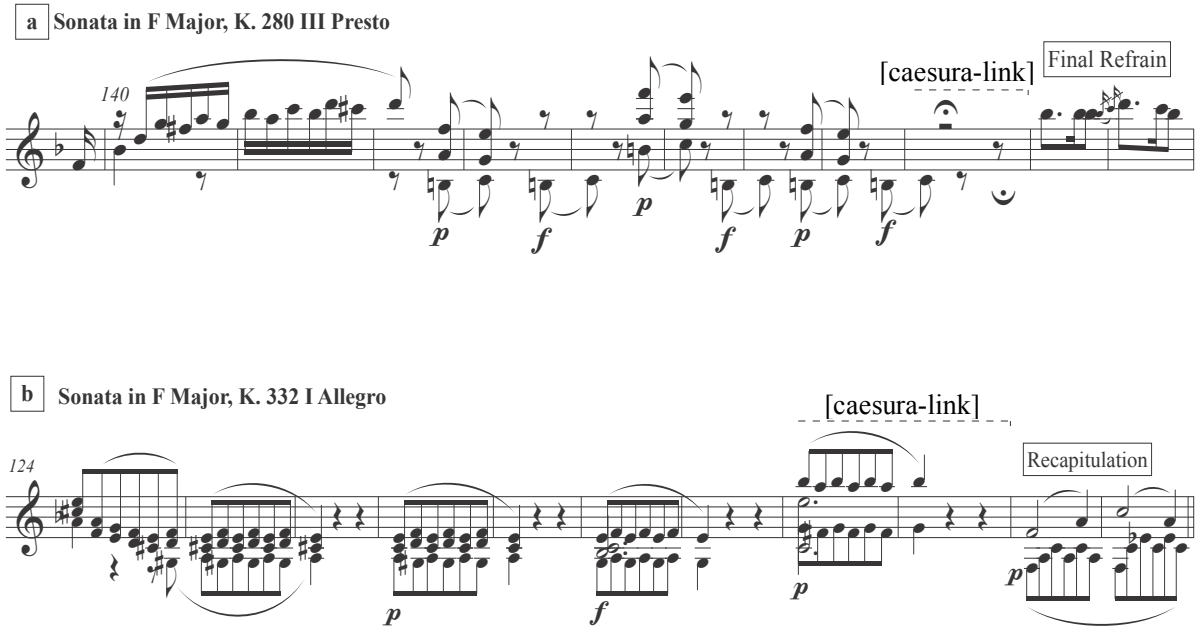
[1] The concept of "caesura-link" in this document is adapted from James A. Hepokoski and Warren Darcy's description of "caesura-fill." See: James A. Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), 40.
[2] Hepokoski and Darcy define these as follows: S = secondary theme; TR = transition; MC = medial caesura. The *medial caesura* is "the brief, rhetorically reinforced break or gap that serves to divide an exposition into two parts, tonic and dominant." See: *Elements of Sonata Theory*, 24 and 40.
[3] Ibid, 24.

I find Hepokoski and Darcy's idea and metaphor for the caesura-fill, including the bassline intensifies when arriving dominant, corresponds to the connective figurations between the retransition and main theme, where an *Eingang* locates.[4] To distinct from the location defined by Hepokoski and Darcy on caesura-fill, which refers to passages between the transition and secondary theme; I will use my term for this documnet, the caesura-link, to denote to passages that bring back to the main theme from retransition.

Example 1 shows these caesura-links with materials that sounds spontaneously before the return of the main theme in the third movement of Mozart's Sonata K. 280 and the first movement of Sonata K. 332. The caesura-link is articulated by a dropping in dynamic level and the use of silence, which is created through rests and fermatas.

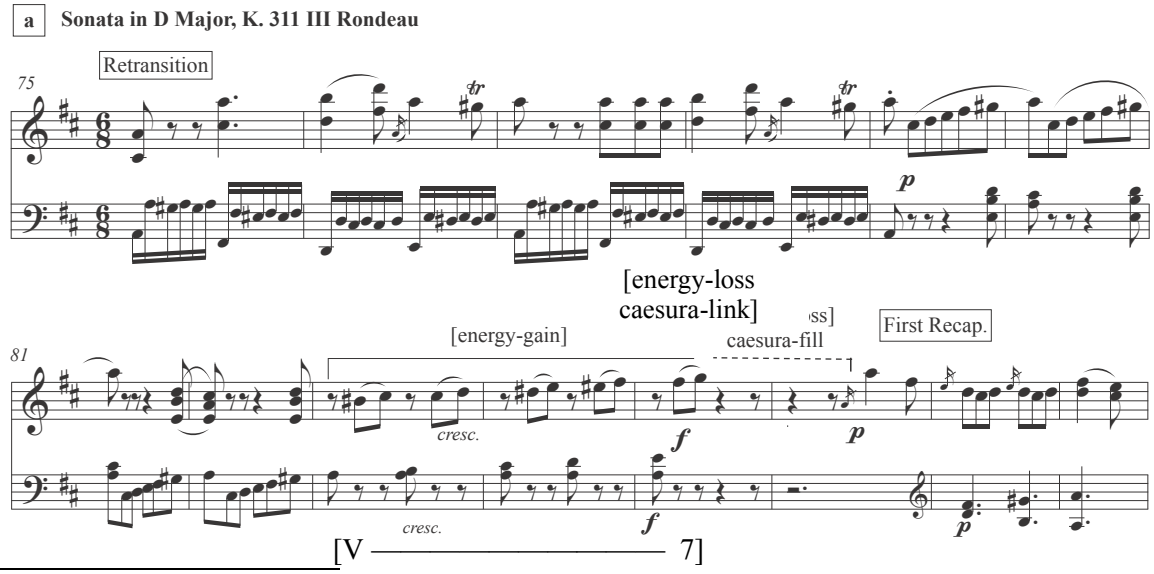
Example 1: Energy-Loss by Silence Marked by Fermata or Rest
(a) Piano Sonata K. 280, III., Presto, bars 140–150
(b) Piano Sonata K. 332, I., bars 124–133



[4] Perhaps the ways that composers shaped connective passages, whether between TR and S, or RT and main theme, are likely to have shared procedures.

As demonstrated in Example 1, silence that creates a rhetorical break or dissipates and releases energy is frequently used to signal the precise caesura links before the recapitulation. Leopold Mozart said that the rest is "for the sake of elegance, punctuation, and a great satisfaction after a perpetual continuance." He adds, "Even a small rest or silence used at the right time can achieve much."[5] A simple, yet effective example comes from the third movement of the Piano Sonata in D, K. 311 (see Ex. 2a). After the Phrygian scale at the end of the retransition from bar 79 is interrupted by a lightly-weighted two-note slur on the dominant in bar 83, an ascending chromatic scale initiates a crescendo in bar 83, reaching the dominant seventh with a forte dynamic, but the ascent is interrupted by two beat-long rests. This silence creates a watershed moment of repose, undermining the preceding bursts of energy. It also represents a dissipate of energy and motion, which usually initiates a drop in dynamic and a return of the main theme.

Example 2: Piano Sonata in f minor, K. 311 III. Rondo, Retransition to First Recap
(a) Retransition to First Recap, bars 75–88
(b) Connective Caesura Arch, Energy-Gain to Energy-Loss, bars 83–86

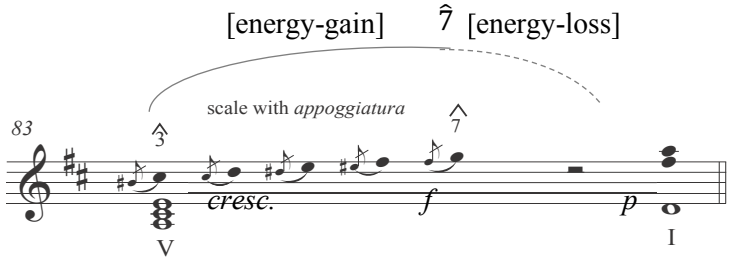


[5] Leopold Mozart, *A Treatise on the Fundamental Principles of Violin Playing*, trans. Editha Knocker, 2nd ed. (London: Oxford University Press, 1951), 36.

Caesura Arch: Energy-Gain to Energy-Loss Motion and its Keystone

In Example 2, the ascending chromatic scale that rises from bar 83 displays a momentum motion,[6] which contrasts with the following energy-loss caesura-link.[7] Such passages, in s motion of momentum versus relaxation, or the energy-gain to energy-loss concept by Hepokoski and Darcy, present an arch-like shape using dominant for bass foundation and dominant seventh note for the keystone (see Ex. 2b). The arch form gesture assists performers when shaping musical phrases. For this reason, this type of gesture will be called a caesura arch. Mozart frequently relies on this motion, which occurs between the retransition and recapitulation in piano sonatas as well as in his *Eingänge* and cadenzas of piano concerti.

Example 2b: Caesura Arch, Energy-Gain to Energy-Loss Motion, bars 83–86



Another example of the caesura arch, with its trajectory of energy-gain to energy-loss, is shown in the following example, between the retransition and the recapitulation of the first movement of Sonata K. 279. In bar 56 (see Ex. 3a), Mozart uses a major scale on the dominant which ascends three-octaves before turning around; an accumulation of energy is released via decorative arpeggios in the second half of bar 57.

[6] The idea of motion in the eighteenth century corresponds to emotion and passion. See: E. A. Liebman, "Animal Attitudes: Motion and Emotion in Eighteenth-Century Animal Representation", *Journal for Eighteenth-Century Studies*, 33: 663-683. doi:10.1111/j.1754-0208.2010.00329.x.

[7] The metaphor of energy-gain gesture to energy-loss is adapted from concept of Hepokoski and Darcy in their *Elements of Sonata Theory*.

In addition to demonstrating the arch motion, the excerpt in Example 3 also demonstrates how Mozart prepares and announces the space for caesura arch: as the motion accumulation continues from the retransition on the dominant in bars 51–55, a decorative dominant arrives on bars 55–56.[8] This dominate arrival, with strong exclamation with decorative arpeggios, calls for an elegant spontaneous gesture that leads back to the tonic.

The keystone, the seventh notes on the dominant ($\sharp\hat{7}$ verse $\hat{7}$), play as a pivoting point from energy-gain to energy-loss in K. 279; the F-sharp appears in the key of dominant, in G major, during the moment where energy is gained, while F-natural performs during a moment when motion is dissipated right before and signifies the tonic key, in C major, is to come. This example provides one model and exercise for practicing Mozart's spontaneous gesture by using the $\sharp\hat{7}$, which is the leading tone of the key in dominant, for energy gain passages on the right hand; while the left hand moves to the $\hat{7}$ on the dominant chord, right-hand corresponds with incorporating the seventh on descending gesture (see the analytical illustration marked as caesura-link paradigm in Ex. 3b)[9].

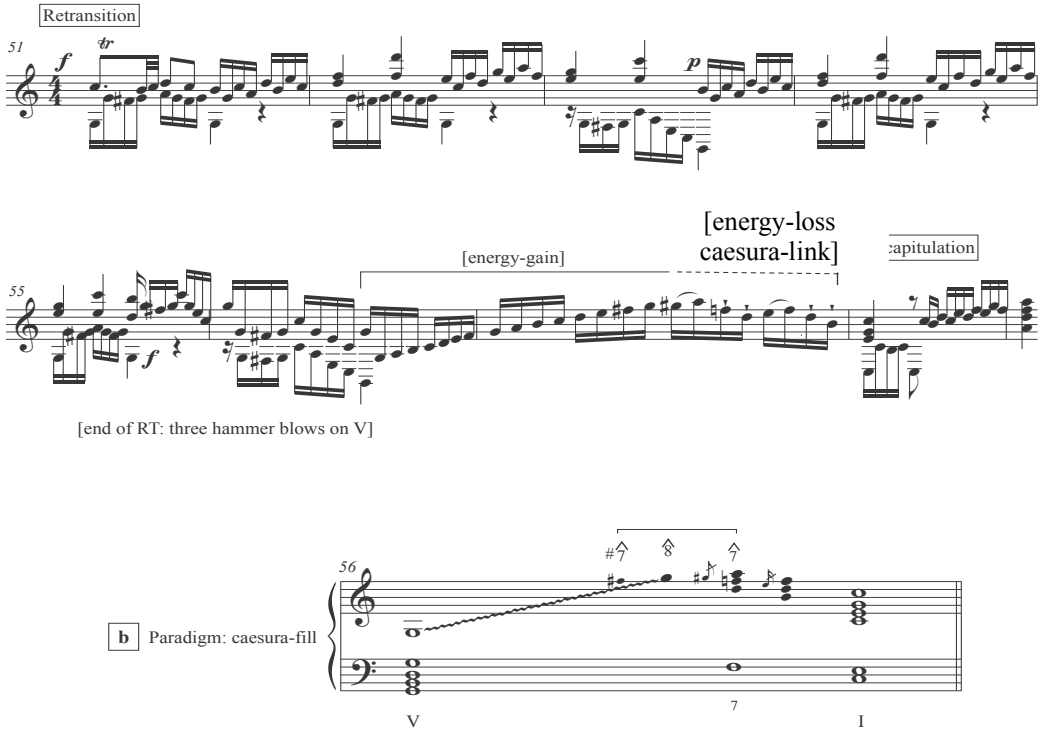
The caesura arch creates a sense of improvisatory freedom on the dominant, ultimately setting the stage for the theme and serving as an inventive and expressive stairway (see Fig. 1) to help define the character and topic of what follows. Leonard G. Ratner mentions that "the term 'topic' here signifies a subject to be incorporated in a discourse. A topic can be a style, a type, a figure, a process or a plan of action. Topics can be intra-musical elements of the language of

[8] Typically, in the end of transition, a standing on the dominant is used to gain energy that will culminate leads to a half cadence; in their *Elements of Sonata Theory,* Hepokoski and Darcy call this a dominant lock, that marks a structural arrival on the dominant. The dominant lock, shows an analog to the decorative dominant arrives before the caesura arch in Example 3. See: *Elements of Sonata Theory,* 197.

[9] Throughout this document, the term "paradigm" will be used to signify an analytical illustration of a particular musical example or idea. Instead of a Schenkerian analysis, the paradigm is generated for constructing a mind map that applies theoretical materials into practicing.

music, or extra-musical, taken from other media of expression."[10] Motivically, these short connective elements tend to be non-thematic, but because musical topics carry connotation and conventions with them, they create coherence and make the musical characters in piano sonatas consistent and cohesive. For instance, in K. 279, instead of using staccato, Mozart applies strokes in the caesura-link, in bar 57. The articulation in this brief passage corresponds to the happy and warlike character of C major[11] and creates coherency within the movement. Ratner further says, "Topical references … are suggestive within the context of an ongoing discourse. Once recognized, they add a final touch of imagery to the coherence and design of tonal patterns."[12] In Mozart's caesura links, as well as in the *Eingänge* and cadenzas, all show coherency in his topic references.

Example 3: Mozart, Piano Sonata in C, K. 279, I. Allegro, Retransition, bars 51–59



[10] Leonard G. Ratner, "Topical Content in Mozart's Keyboard Sonatas," *Early Music* 19, no. 4 (1991), 615–19.
[11] Claude Crussard, "Marc-Antoine Charpentier Théoricien," *Revue de Musicologie* 24, no. 75/76 (1945), 64.
[12] Ratner, "Topical Content in Mozart's Keyboard Sonatas," 619.

Another example of a caesura arch that corresponds to the main theme's topic is shown in Example 4, an excerpt from the third movement of Mozart's Sonata in C Major, K. 309. Here, the broken chords, which are played in a fanfare style, arrive at a forte dynamic on the seventh of the dominant on bar 186. Then, in bar 187, the sudden drop in dynamic to piano and the texture leaves only the seventh note. Both the dynamic marking of piano and the slurred articulation indicate a release from the previous tension. The sudden collapse to piano at the end is a deviation from the persistent forte dynamic and calls for special attention and interpretation with timing, as the performer plays with the audience's expectations.

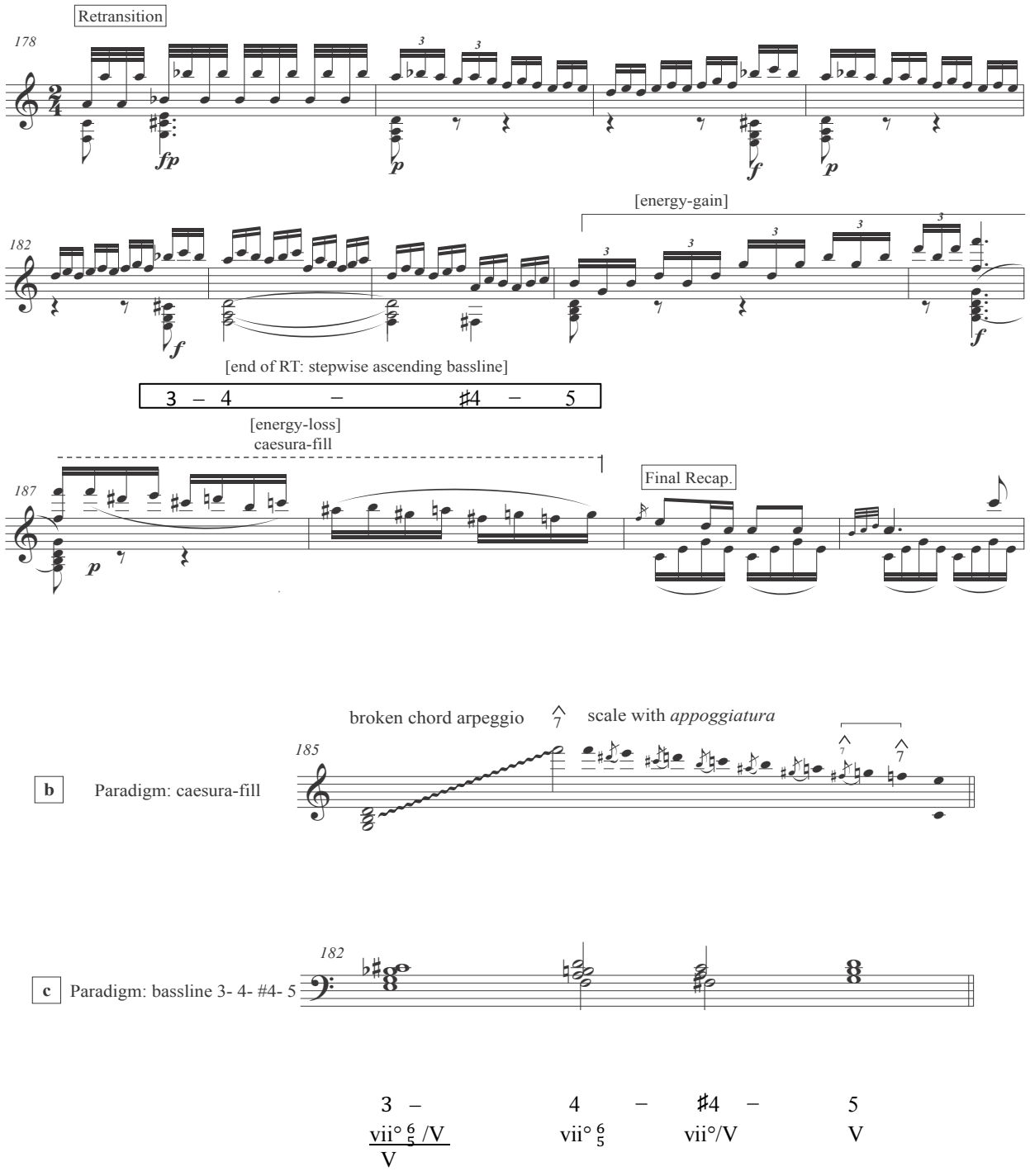
An elegant and smooth Alberti bass, which supports the singing melodic theme, is prepared by a lyrical appoggiatura-decorated descending scale in bar 187.[13] Example 4b shows how Mozart decorates his figurations with arpeggios to initiate energy and uses the ornamentation, the appoggiatura, for lyrical expression.[14]

Mozart presents a more intense dominant drive at the end of retransition here in K. 309, on bar 183 to prepare for the caesura links. The forceful dominant arrival is approached by an ascending half-note bassline, 3 –4 –♯4 –5, on applied diminished seventh chords.[15] The analytical illustration in Example 4c shows how Mozart uses dissonant harmony, with its diminished-seventh chord, to intensify a clause closure of in his piano music.[16] This stepwise

[13] Leonard G. Ratner, *Classic Music: Expression, Form, and Style, (*New York: Schirmer Books, 1980), 135.
[14] Detailed discussion on Mozart's ornamentation will be in Chapter Four.
[15] The 3 –4 –♯4 –5 schema is a typical way when approaching to an important dominant harmony. The coincidence between example of caesura-links shares same characteristics when half cadence approach to the MC describes by Hepokoski and Darcy.
[16] The diminished seventh chord, for which Arnold Schoenberg describes: "Whenever one wanted to express pain, excitement, anger, or some other strong feeling – there we find, almost exclusively, the diminished seventh chord. So it is in the music of Bach, Haydn, Mozart, Beethoven, Weber, etc. …. This uncommon, restless, undependable guest, here today, gone tomorrow, settled down, became a citizen, was retired a philistine." See Arnold Schoenberg, *Harmonielehre*, translated by Roy E. Carter (University of California Press in 1983), 238.

ascending bassline, which will be discussed later in his concerto movements, is one of the chief characteristic expression for indicating the *Eingänge* and Cadenzas.

Example 4: Mozart, Piano Sonata in C, K. 309 III. Rondo, Retransition, bars 178–191



Visualization and Practice of the Contrasting Effect in Caesura Arch

I find many visual analogs to these connective caesurae in contemporary art and architecture; such images help us to understand the form and function of these musical passages. For example, A decorative staircase and hallway in the eighteenth century, which bridges two floors continuously, provides a visualization representation of topical coherence of spontaneously connective caesura arch in piano sonatas. Both the staircase and connective caesurae function as an essential link, leading up to a significant structure, and are highly ornamented. These spaces imply both a form of composition and an aestheticism (see Figure 1). Therefore, more than just an ornamental parenthesis, they essentially shape the composition's form and open up opportunities for the performer to connect individually with a composer's work by uniting the composer's intention and the performer's interpretation.

Figure 1: Cassiobury Park, Hertfordshire, British, Staircase. 1677–80. Woodwork, height: 472.4 cm. Attributed to Edward Pearce (ca. 1630–1695). New York, Metropolitan Museum of Art

Table 1 illustrates the structure for caesura arch that links the retransition to refrains of Mozart's piano sonata movements K. 279 I, K. 309 III, and K. 311 III (discussed in Examples 2–4). Essential characteristics of the caesura arch include: the closure of retransition that intensifies dominant affirmation as an exclamation; the caesura arch; and the momentary pause, as a comma, that immediately precedes the recapitulation.

Table 1: Caesura Arch Plan, Retransition to Refrains, Piano Sonatas

<table>
<tr><td>[End of Retransition]
V  !</td><td colspan="2">[Caesura Arch &
  </td><td>pause]
,</td><td>[Recap.]
  </td></tr>
<tr><td rowspan="2">• Stepwise ascending bassline 3– 4– ♯4– 5
• Dominant prolongation using applied chords</td><td>Energy-gain</td><td>Energy-loss
Caesura-link</td><td>onset</td><td rowspan="2"></td></tr>
<tr><td>Crescendo by ascending, fast, or chromatic figurations.</td><td>Diminuendo by reduced texture, single voice, or ritardando</td><td>A very brief rest, or break</td></tr>
<tr><td>Force to dominant arrival as an affirmation/exclamation</td><td colspan="2">Topic coherence with the main theme</td><td></td><td>main theme</td></tr>
<tr><td>Half cadence</td><td>7th of the dominant key</td><td>7th of the dominant chord</td><td></td><td>I</td></tr>
</table>

As mentioned earlier, the caesura arch can be divided into a two-part plan using the contrasting idea of momentum versus relaxation and the term, energy-gain to energy-loss. This juxtaposition can be presented in various aspects: in tempo, figurations, affect, and expression. Metrically, the energy-gain with its fast-moving figurations tends to be solid and strict in tempo, whereas in the brief caesura-link which presents energy-loss, Mozart often indicates a ritardando or rests for pauses. Thus, the caesura-link speaks with a relaxed tenderness, and performers should not adhere to rigid and strict rhythms. The first part also provides a glimpse into how

Mozart incorporates non-thematic material, using scales or arpeggios, into his improvisatory style, whereas in the second part, he often uses slurs and ornaments that express lyrical lines.

Energy-Gain and the Brilliant Style

The effect of using rapid and virtuosic sixteenth notes for creating initial energy corresponds to the "brilliant style," which as Ratner explains, "refers to the use of rapid passages for virtuoso display to the portrayal of intense feeling" and was commonly used such as "by Daube in 1797, Türk in 1798, and Koch in 1802."[17] The musical brilliant style finds its visual analog in fireworks, which were a pyrotechnic feat and staged spectacle during this period. Fireworks were used for special occasions, such as royal ceremonies and courtly festivals. George Frideric Handel's Music for the Royal Fireworks from 1749 was composed for such a lavish occasion, specifically for the celebration of ending the eight-year War of the Austrian Succession and the signing of the Treaty of Aix-la-Chapelle in 1748. In his recently article, Fireworks and wind bands in 1780s Vienna: a connect for Mozart's 'night musique'?, Ian Woodfield describes a night with splendid firework display during the reign of Joseph II in the 1780s. Woodfield writes, "Each presentation was accompanied by popular airs from the featured work, played by a wind band. Musicians were also employed on non-musical nights to entertain the huge crowds of 10,000 or more that assembled in the Prater, a function seen more widely at animal-baiting shows, daylight aerostatic extravaganzas, and balloon flights."[18] Woodfield suggests a possible unidentified 'Nacht Musique' style within Mozart's compositions, especially in his Serenade K. 388 and K. 375. Figure 2, A View of Superb Fireworks in Vienna, 1780,

[17] Ratner, Classic Music: Expression, Form, and Style, 19–20.
[18] Ian Woodfield, *Fireworks and wind bands in 1780s vienna: a context for mozart's 'nacht musique'?*, Music and Letters, (Oxford University Press, 2018), gcx094, https://doi-org.proxyiub.uits.iu.edu/10.1093/ml/gcx094

shows a night view of one of these occasions as seen from an optical device. Such an occasion is described in Mozart's letter to his father from Vienna, On November 3, 1781:

> At eleven o'clock at night I was treated to a serenade of two clarinets, two horns and two bassoons, and indeed it was a composition of my own … It met with great applause and was played in three different places on the Theresa-day; for after having finished in one place, they were paid to proceed to another and play it again. The musician begged that the gates might be thrown open, and, placing themselves in the centre of the court-yard, surprised me (just about to undress) in the most agreeable way in the world by the first chord in E flat.[19]

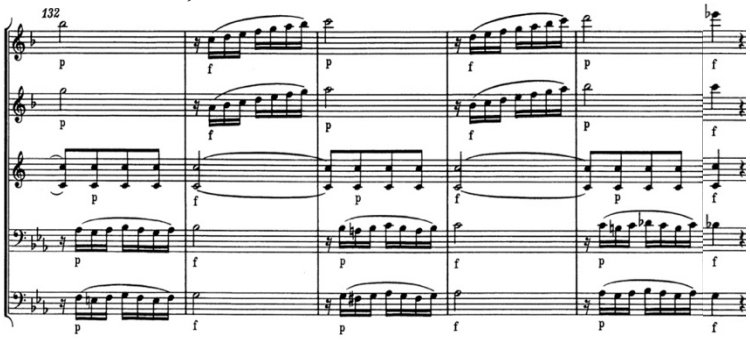
Figure 2: Eighteenth-Century Firework, Vue d'un superbe feux d'artifice a Vienne [A View of Superb Fireworks in Vienna], 1780, Unknown Artist, Graphic Arts Collection GA 1995.00005, Princeton Graphic Arts Collection[20]

[19] Wolfgang Amadeus Mozart, *The letters of Wolfgang Amadeus Mozart (1769–1791)* / Tr. from the collection of Ludwig Nohl, by Lady Wallace vol. 2: Photocopy. Brockport, N.Y., Drake Memorial Library (Boston: O. Ditson, 1865), 93.

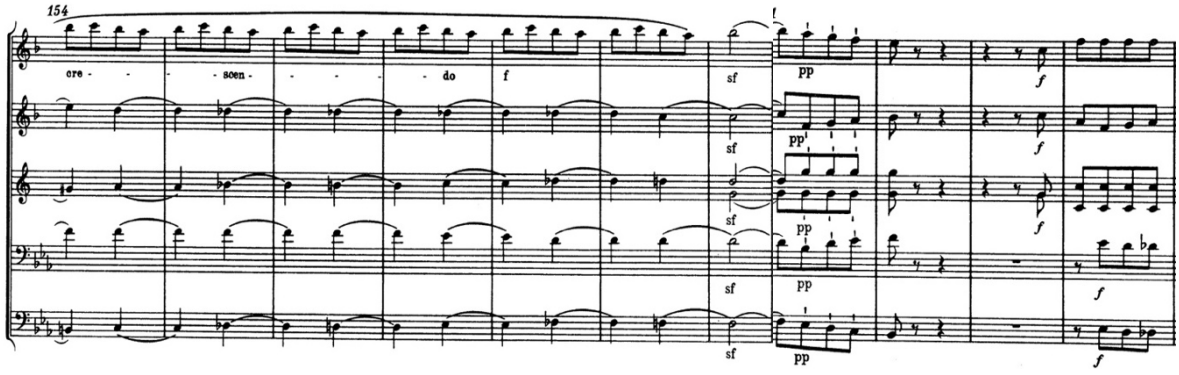
[20] Firestone Library in Princeton University has a large collection of optical views along with their viewing devices. This presents one of the visual entertainment using objects and materials in the eighteenth century. The Graphic Arts Collection within the department of Rare Books and Special Collections, on November 13, 2013, describes this pictures "Rather than simply being designed with exaggerated perspective, these are made to be seen in peep shows, boxes with a top lid so that the light could be directed from the front or the back, offering a daytime view and a nighttime view."
https://graphicarts.princeton.edu/2013/11/13/superbe-feux-dartifice/

We have no direct evidence that Mozart was trying to evoke fireworks specifically in his works; rather, similar to the staircase and the connective caesura, fireworks offer a visual comparison to the effect Mozart creates with his brilliant passages with figurations that shows brilliant arch, with scales and arpeggios, in both finales. Especially in the finale of the Rondo Allegro K. 375, between the retransitions and refrains. The fast-ascending motion in forte dynamic that dissipates at the moment when it reaches its climax corresponds to the tremendous discharge of cannon visual effect on incessant sheet of fire (see Ex. 5). Just as the brilliant musical style provides a brief moment of virtuosic luster, the fireworks' visual appearance appears quickly, controlled by the physical materials and over a matter of a just a few seconds.[21]

Example 5: Mozart, Serenade in E-flat Major K. 375, Finale, Retransition
(a) Retransition to Second Refrain, bars 132–137



(b) Retransition to Final Refrain, bars 154–164



[21] Further discussion on the brilliant style in music content, see: Roman Ivanovitch, "The Brilliant Style", *The Oxford Handbook of Topic Theory*, (Oxford University Press: 2014-11-06). http://www.oxfordhandbooks.com.proxyiub.uits.iu.edu/view/10.1093/oxfordhb/9780199841578.001.0001/oxfordhb-9780199841578-e-13.

Energy-Loss and the Cantabile Style

The effect that followed by the caesura arch is in contrast with energy-gain, the energy-loss, and related to the cantabile singing style.[22] In his Versuch in 1753, on the subject of the relationship between vocal and instrumental playing, C. P. E. Bach says, "The whole approach to performance will be greatly aided and simplified by the supplementary study of voice wherever possible and by listening to good singers."[23] And later,

> Above all, lose no opportunity to hear artistic singing. In so doing, the keyboardist will learn to think in terms of song. Indeed, it is a good practice to sing instrumental melodies in order to reach an understanding of their concert performance.[24]

Aspects that serve to signify the singing style in Mozart's caesura-link include tempo rubato, legato/slurs, and ornamentation. Pier Francesco Tosi mentions the conception of cantabile singing and the reliance on improvisatory skill in performance in 1723:

> In the best interest of music, that good taste does not lie in the continuous speed of a voice wandering about without guidance or purpose, but rather in the fact that it expresses itself in a manner appropriate to singing: by the sweetness of the portamento, by the appoggiaturas in artistic and evenly improvised ornamentation.[25]

Tosi later noted, "By seeking to move from one note to another with unusual and unexpected rubato (rubamento di tempo) - which, however, must be tailored to the exact movement of the bass."[26] These brief caesuras show elegance and wit that require attention when interpreting with the "speed of a voice" and "exact movement of the bass" accordingly. Interpretation of these caesuras is a question of the length on the pause or whether to have rubato that shows natural

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[22] See Chapter 3, page 59 for further discussions.
[23] Bach, *Versuch über die wahre Art des Clavier zu spielen*. Part I was revised by C.P.E. Bach and published in Leipzig in 1787; the quotations are taken from William J. Mitchell's translation: Essay on the True Art of Playing Keyboard Instruments, 38.
[24] Ibid., 151–2.
[25] Pier Francesco Tosi and Johann Friedrich Agricola, Opinioni de' cantori antichi e moderni , trans. and ed. Julianne C. Baird, Introduction to the Art of Singing (Cambridge: Cambridge University Press, 1995), 205.
[26] Ibid., 205.

flow which is not overly expressed. In his On Playing the Flute, on the subject of performing improvised cadenzas applies to the repertoire for a solo instrument with only one melody line, Johann Joachim Quantz advises "when interpreting, but rather, be performed as a free flexible phrase within one breath."[27] The eighteenth-century style of interpreting a spontaneous passage within one breath was mentioned by many musicians and composers such as Pier Francesco Tosi and Johann Joachim Quantz; this stylistic improvisatory taste serves as a guide when interpreting Mozart's brief caesura-link on dominant that articulate the return of tonic in a natural and spontaneously way.[28]

Contrasting Effects in the Caesura Arch and the Cultural Tea Ceremony

The juxtaposition of contradictory elements for the sake of expression is used differently at times, but it is not a new idea. For instance, the contradiction inherent in chiaroscuro, the strong light-dark tonal contrast in oil painting was already developed during the Renaissance. The contrasting effect created by light and shadow, the energy-gain to energy-loss plan, fast to slow schema, or brilliant to cantabile style, were all used for the same expressive purpose: to stimulate vivid contrast to create the maximum dramatic effect and affect, just as juxtaposing formal composition versus improvised passages is a technique used for the same reason. It is a mode of persuasive rhetorical expression.

Another parallel image for energy-gain and energy-loss gesture is the eighteenth-century practice of tea-drinking. This was a highly fashionable activity for the wealthy upper classes and

[27] Edward R Reilly, Quantz's Versuch Einer Anweisung Die Flöte Traversiere Zu Spielen: A Translation and Study (Ann Arbor: s.n., 1958), 185.
[28] More discussion on the improvisatory taste of cantabile style will be addressed in Chapter Three.

played an important part in women's social lives (see Figure 3).[29] In one of his poems about tea, published in 1712, tea merchant Peter Motteux states that tea has "the Balm and Comfort of a Cordial, without the Headiness of our strong Spirits; and cheers the Heart, without disordering the Head."[30] Tea was, according to him, a kind of remedy and universal cure, a "liquid gold" that "cures at once the Body and the Mind."[31] Tea encouraged the muse of creativity, and as such, he especially recommended tea to poets and scholars, as he poetically called them, "the fair:"

> One Blessing more, and Europe's Ills must cease;
> Add Tea and Health to Liberty and Peace.
> Tea in the Man makes all Blessings live,
> And giving Health the greatest Good can give.
> Let every British Fair its Virtues try.
> Like them, the Drink is charming, clear and chaste;
> To make 'em love, persuade them but to taste.
> Then all Mankind its wholesome sweets will share
> For all are proud to imitate the Fair.[32]

When pouring tea into the delicate cup (as the lady in orange in Fig. 5), the tea initially dripped at a fast pace, gradually slowing down. After a short interval, when the drinker would smell the evaporated flavor, he or she would breathe it in, drink, and then feel refreshed. The tea drinking action, with its cheerful and invigorating effect that provided a short break between tasks, provides another music-image in action, parallels the caesura links in music.

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[29] This picture is considered to be in a group portrait in a comedy of manners. It depicts "concourse of those who crowd round a man of power in a morning." Text adapted from *The Conversation Piece: Scenes of fashionable life*, London, 2009, Painting signed and dated: Mar. Laroon. F. 1740, Presented to the Royal Collection; first recorded at Kensington Palace in 1903, The Royal Collection Trust No. 403544.
https://www.royalcollection.org.uk/collection/403544/a-musical-tea-party

[30] Peter Anthony Motteux, *A Poem Upon Tea. By Peter Motteux*. (London: printed for J. Tonson, 1712), 3.

[31] Ibid., 14.

[32] Ibid., 15.

Figure 3: Oil on Canvas, A Musical Tea Party, 1740, Marcellus Laroon The Younger (1679–1772), 91.4 × 71 cm, Royal Collection Trust

Practices I: Caesura Arch in Mozart's Piano Sonatas

Example 6 lists these brief connective caesurae moments that occur after the retransition in Mozart's piano sonatas. Listed by key order with modal characteristics, these examples provide exercises for practicing a prefabricated one in different keys and provide models for developing spontaneous figurations that are consistent with Mozart's compositional style. Beside simple figurations like scales, arpeggios/ broken chords, and chromatic scales, these models of figuration, which Mozart employed to embellish the dominant chord, are also decorated with ornaments like appoggiaturas in K. 279 and K. 309 (Ex. a, Ex. b), turns in K. 284 (Ex. e), and mordents in K. 283 (Ex. d). Dissonances that resolve to consonances, like 7 –6 and 4 –3, can also be articulated when decorating chords, as in bar 161 of the third movement of K. 576 (Ex. g).

Topic components mentioned by Ratner are marked in the example below, such as the concerto style[33] in K. 279 and K. 283 (Ex. a and Ex. d), the singing style in K. 309 (Ex. b), the Turkish style in K. 310 (Ex. c), and the Italian opera sinfonia style in K. 284 (Ex. e) for the returning theme. Ratner explains that awareness of referring to topical content provides the composer with control "of dynamics, tempo, articulation and emphasis to mark critical notes and figures for special attention."[34] He continues:

> We can include specific figures – appoggiaturas, tiratas, arpeggios, suspensions, turns, repeated notes etc. – in the theatrical climate generated by the constant presence of topical content. These short figures take on topical character as postures, as gestures that carry affective value. They enter the discourse as subjects that surround the more sharply delineated topics.[35]

Even in a brief passage, the characteristics of the caesura links correspond to the refrain, which then shapes the music with unity. Instead of being stylistically confined within short figurations in few bars, the recognition of the topic content provides a way to spark imagination for pedagogical and introductory purpose; the details of the figurations still integrate with the expression of the movement as a whole.

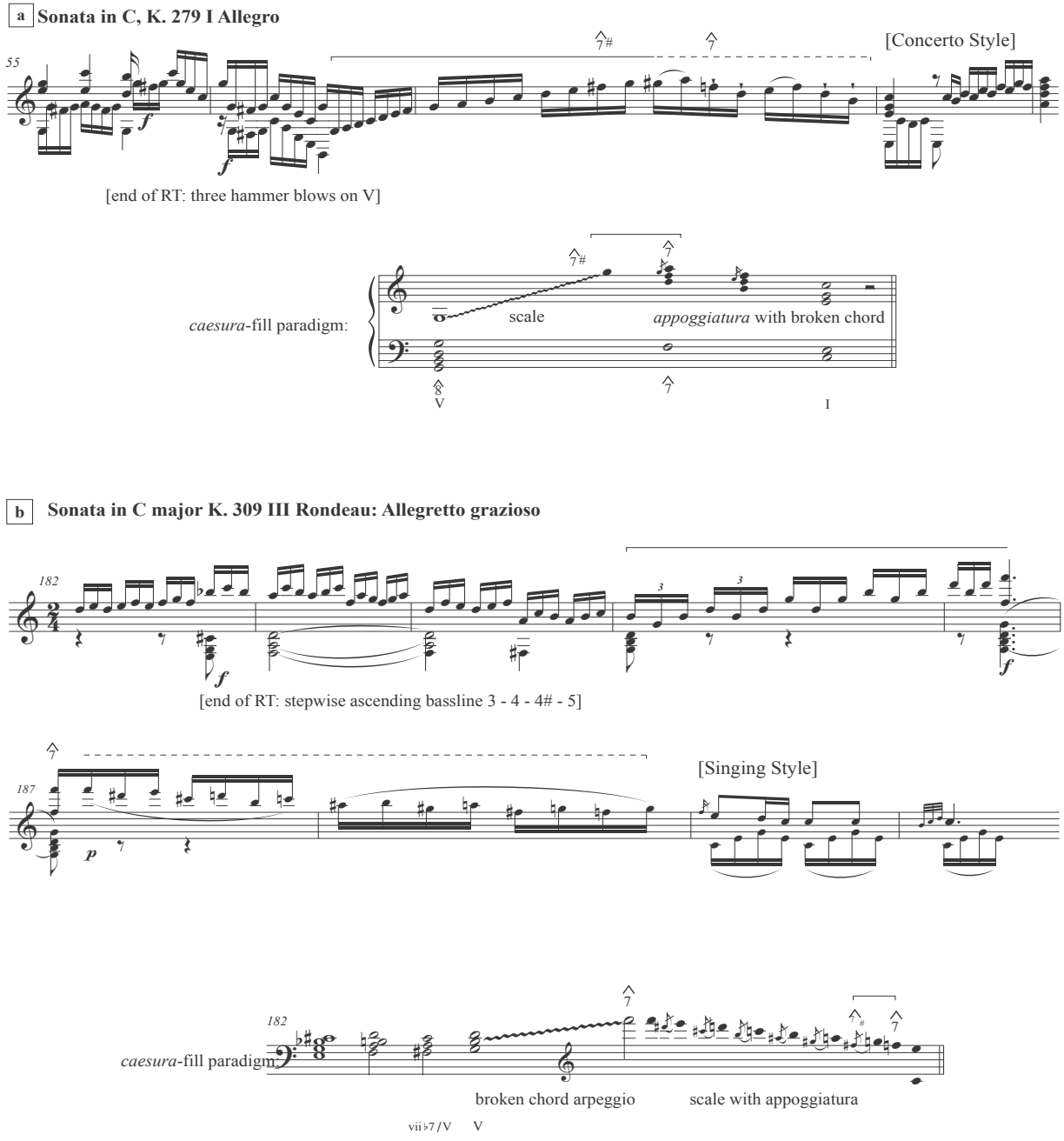
Noted that, when integrating these brief figurations into performance, the seventh of the dominant plays an essential role that shapes the musical ideas from energy-gain to energy-loss (separated by solid and dashed half frame in Examples 6 and 7). The paradigm in Ex. 6a provides an exercise by left hand moving from 8 – 7 – 6 on the dominant chord: when left-hand harmony plays the 8, figurations on right hand use the sharp-seventh on the key of dominant; while left-hand moves to the 7, figurations on the right hand corresponds with the natural-seventh on the dominant, which is on the dominant chord that prepares the tonic to come. A

[33] Ratner, *Classic Music: Expression, Form, and Style*, 135.
[34] Ratner, "Topical Content in Mozart's Keyboard Sonatas," 615–19.
[35] Ibid., 616.

similar practice can be found in the first movement of K. 248 (see paradigm in Ex. 6e).

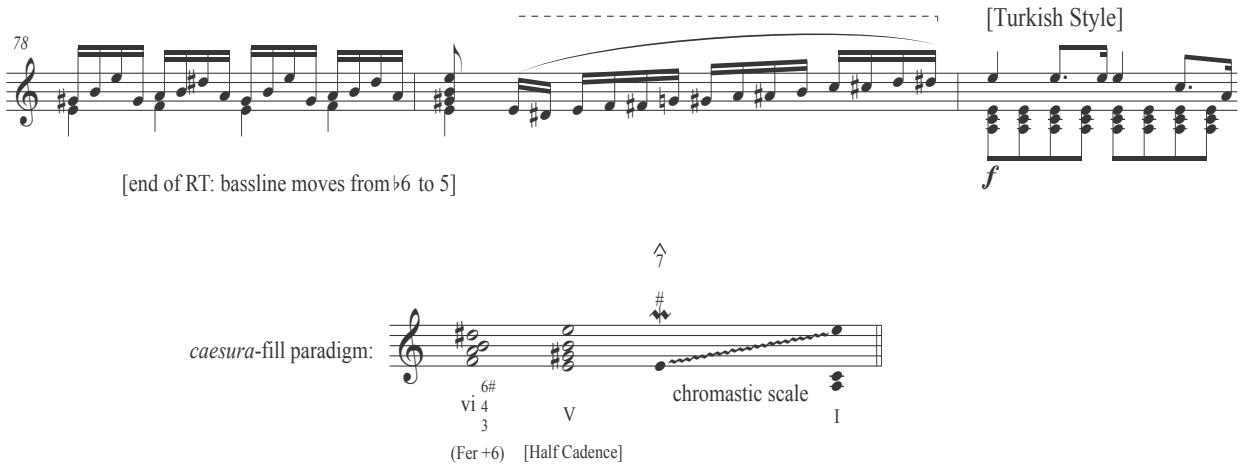
Instead of a structural signal, the sharp-seventh that occurs right before the theme returns, is an ornament, an appoggiatura, or a half step passing note that lead in to the tonic arrival. Such an instance can be found in K. 310 (Ex. 6c) and K. 283 (Ex. 6d).

Example 6: Retransition – Caesura Arch – Recapitulation, Piano Sonatas

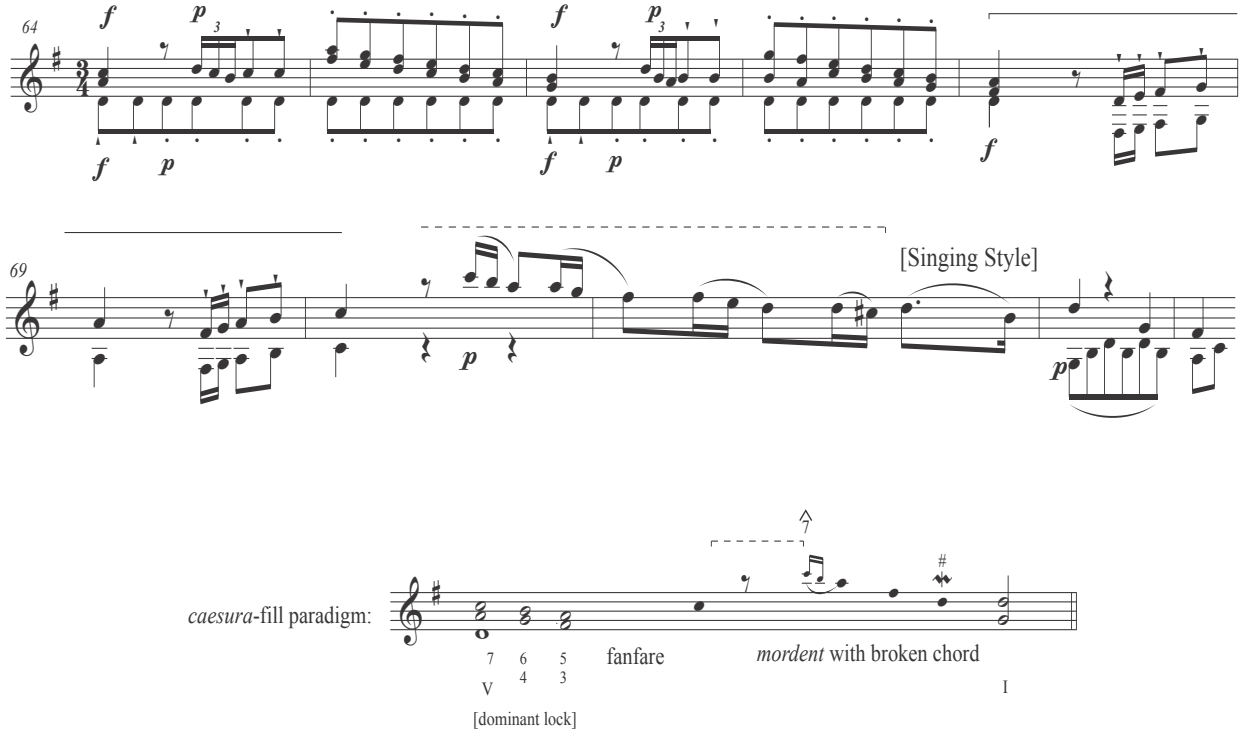


(Ex. 6) Continued…

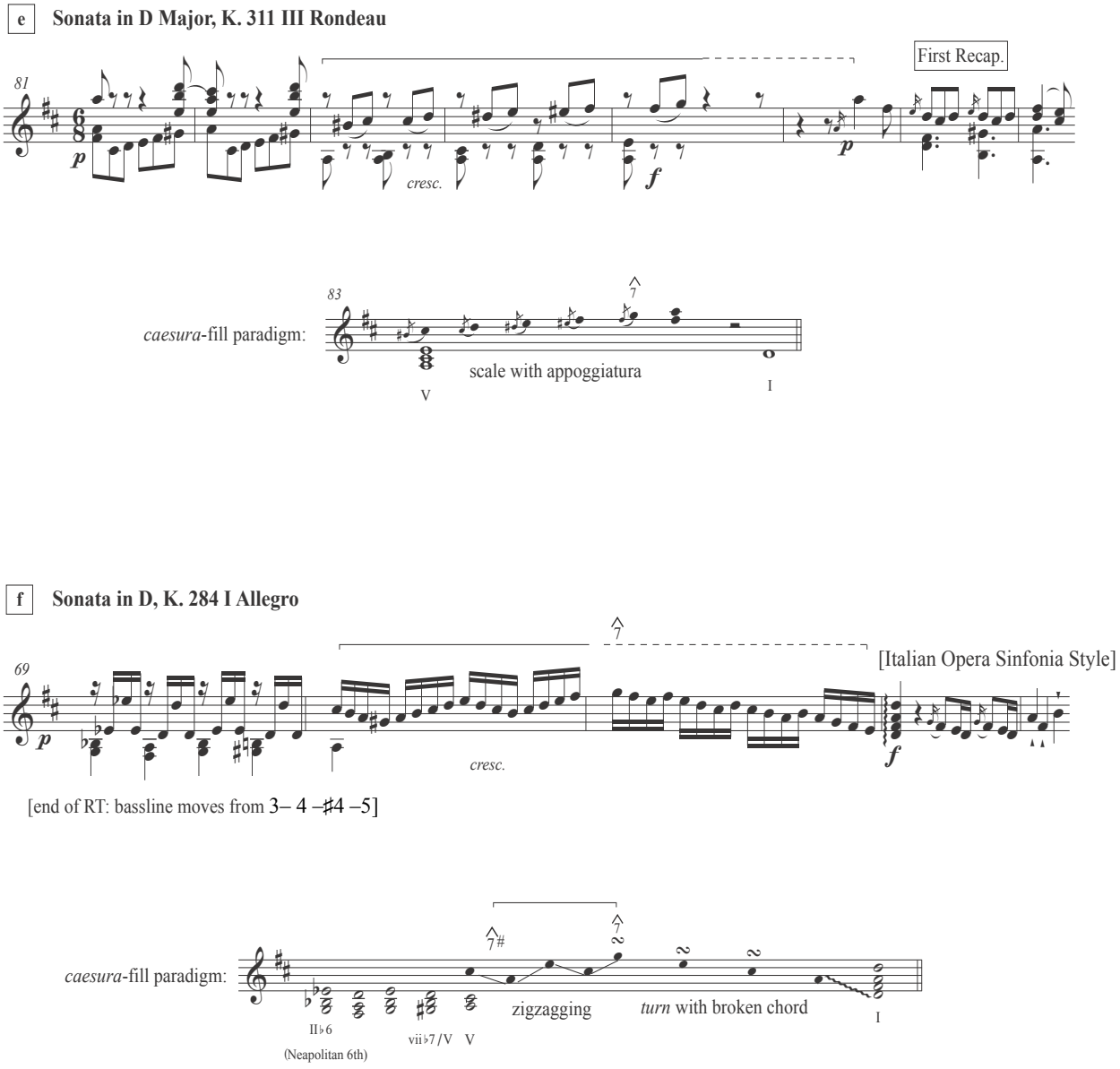
c **Sonata in a, K. 310 I Allegro maestoso**



d **Sonata in G, K. 283 I Allegro**

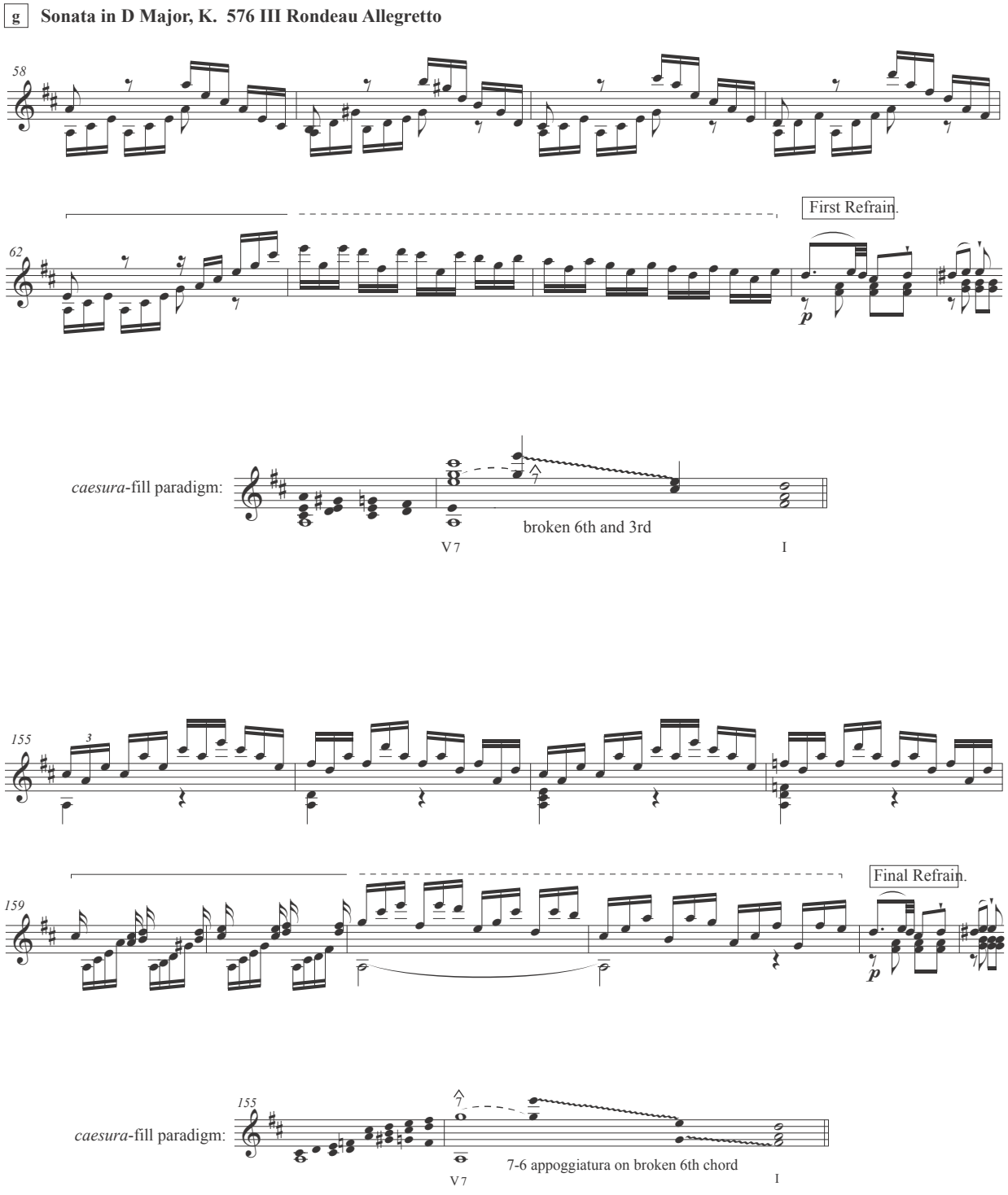


(Ex. 6) Continued…



Sometimes, the seventh is hidden in the inner voice as in the third movement of K. 576 (see Ex. 6g). The caesura-links, in bar 62 and bar 159, illustrate how the seventh incorporates with sequential chords.

(Ex. 6) Continued…

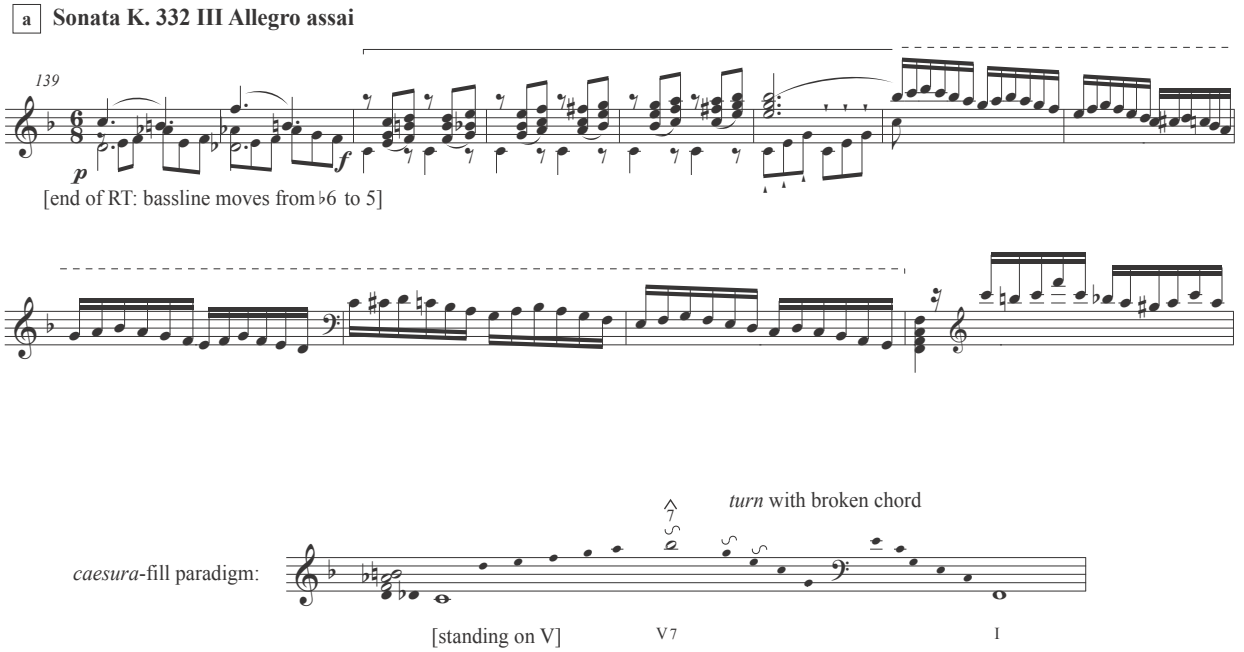


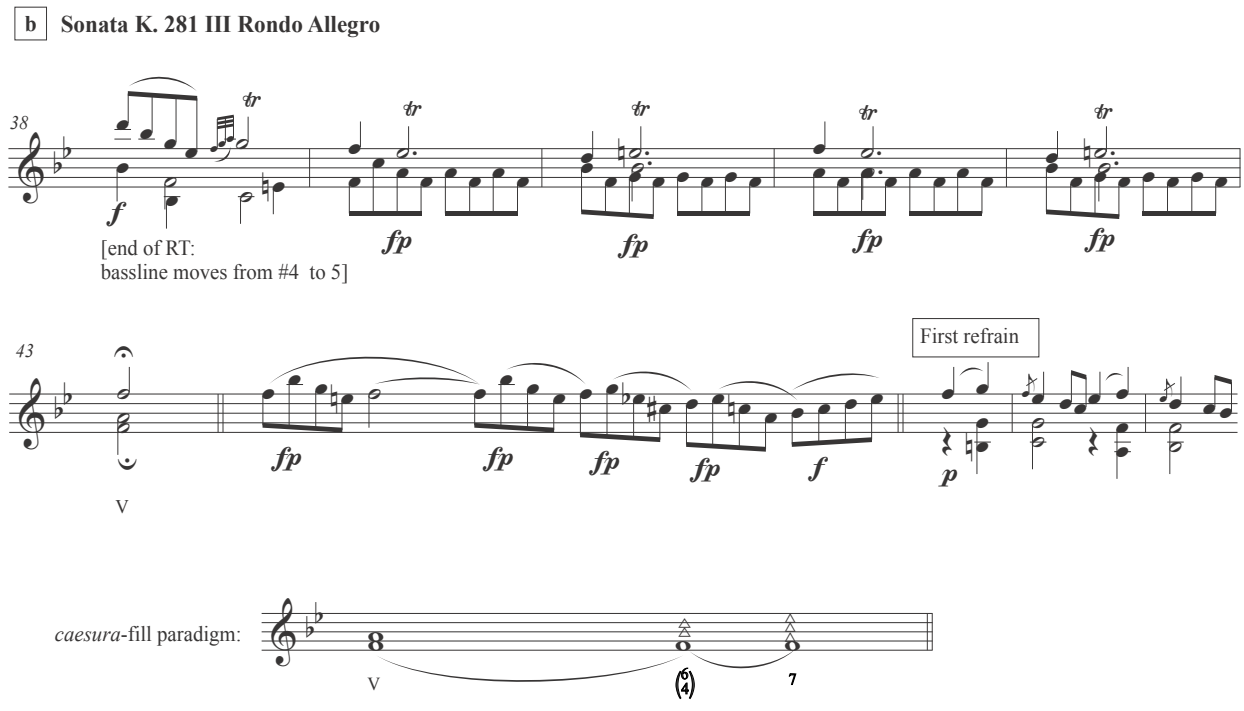
When a caesura arch is extended, either by having a longer dominant pedal or by using fermatas, it allows for a more expressive effect or expression. For instance, the third movements, allegro assai of Sonata K. 332 and Rondo Allegro of Sonata K. 281 as shown in Example 7. The turn, is often used to decorate a chord and scale, as shown in the third movement of K. 322 (see Ex. 7a). The dominant seventh chord is extended beyond three octaves. This passage corresponds to the rollicking virtuosic character of this allegro assai movement and is technically demanding for keyboardists, then and now.

The expanded caesura arch of in Sonata K. 281 demonstrates a different expression using dynamic and unmeasured style (see Ex. 7b). After energy acuminates to a half cadence on bar 43 with a fermata sign, suddenly there is a sense of freedom without the bar line. The harmony on bar 43, is a simple dominant, it might suggest a six-four harmony and dominant seventh when it approaches to the refrain as shown in the paradigm.

The bassline progression which at the end of retransition is corresponding to the pre-cadential bassline in *Eingänge* and cadenzas. As mentioned earlier in Ex. 6c and 6f, these pre-caesura arch or pre-cadential bassline are using applied dominant, diminished seventh chords, or with half stepwise motion in 3– 4 –♯4 –5 or 6 –5.

Example 7: Extended Caesura Arch, Piano Sonatas





CHAPTER TWO: EXPANDED CAESURAE AND *EINGÄNGE*

Fermata: Invitation for *Eingänge* or Need for Rhetorical Silence?

In Mozart's piano sonatas, *Eingänge* are frequently indicated by fermatas. Flutist and composer Johann Joachim Quantz, in his treatise On Playing the Flute, describes a fermata as "a slur with a dot [that] occurs above a rest… and it is also indicated with the words 'pausa generalis' or '*ad libitum*'."[1] Quantz's description shows us that rather than a pause or caesura on a note or chord that causes a silent and complete break in the flow of sounds in a song or conversation, the fermata is to be taken as a rhetorical break that dissipates the retransition's energy and opens a linking space for the onset of the theme. An excellent example of this occurs in K. 281 at bar 43, which is shown in Example 7b from Chapter One.

Further information about the purpose and function can be gleaned from the term in other languages. In The New Grove Dictionary of Music and Musicians, David Fuller explains the fermata by using its French term, "Point d'orgue."[2] This translates literally to "pedal point," a musical tool which serves as a prolongation of explicitly indefinite duration. It thus comes as no surprise that *Eingänge* indicated by a fermata usually stand on the dominant seventh. A fermata may appear in any part of the movement, but its most characteristic occurrence, is in rondo movements when it connects a section's ending with the re-entry of the refrain or at the arrival of the recapitulation or an unusual coda at the end.

Mozart made a distinction between cadenzas and other improvisatory passages called *Eingänge* by the time his contemporaries were writing in the eighteenth century and were not

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[1] "A slur with a dot occurs above a rest, which is called a *fermata*, *pausa generalis*, or *ad libitum*." Johann Joachim Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen* (Berlin, 1752). Translated by Edward Reilly as *On Playing the Flute* (London, 1966: 284-287), 155.

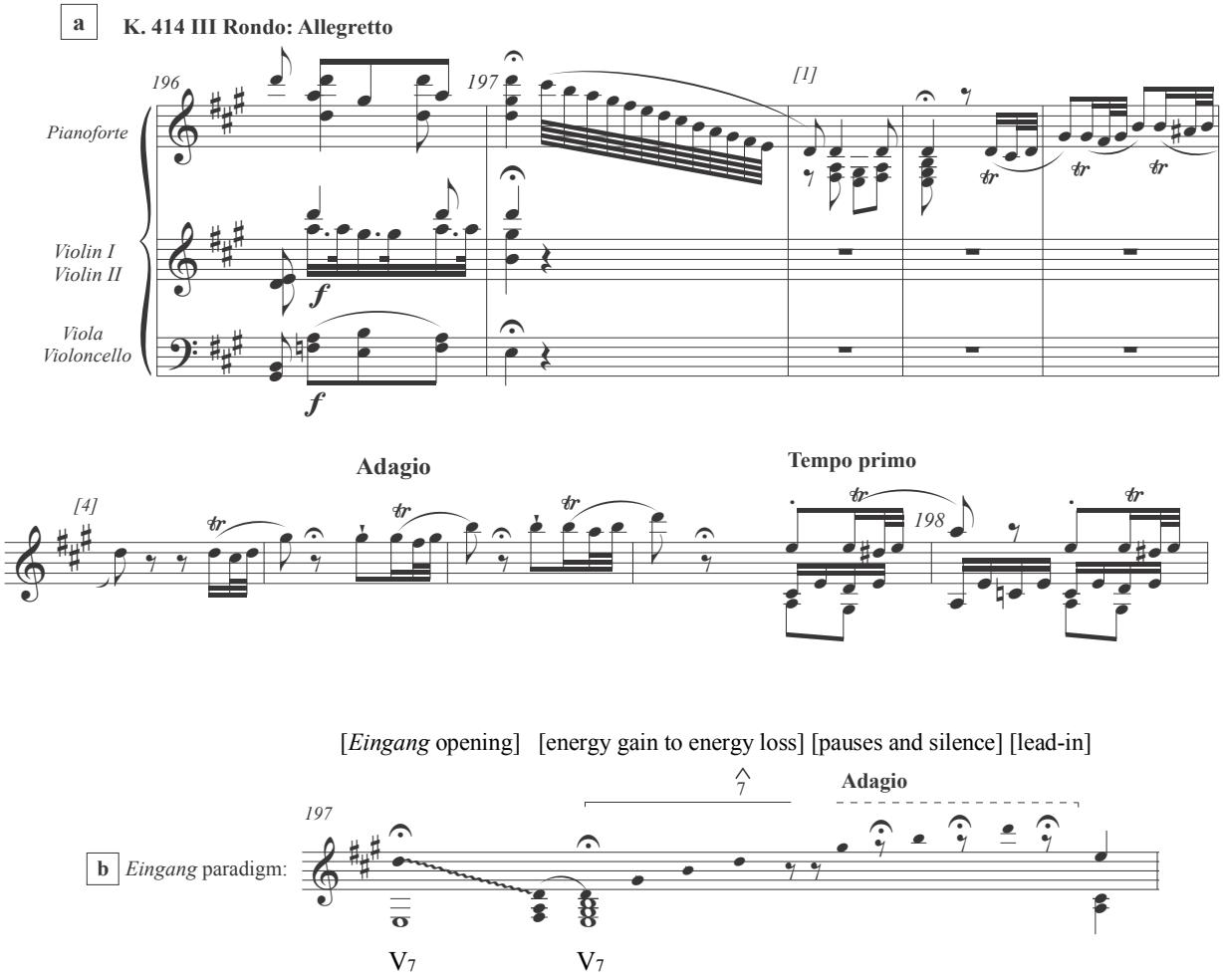
[2] David Fuller, "Organ point," *Grove Music Online*. *Oxford Music Online*, accessed March 21, 2017, http://www.oxfordmusiconline.com.proxyiub.uits.iu.edu/subscriber/article/grove/music/20444.

making this distinction. As he said in a letter from 15 February 1783, "I shall send the cadenzas and *Eingänge* to my dear sister at the first opportunity. I have not yet altered the introductions in the rondo; whenever I play this concerto, I always play whatever occurs to me at the moment."[3] Thus, Mozart's letters demonstrate that "*Eingang*," is Mozart's own term for spontaneous passages that lead back to a theme and which are announced with a fermata.

The third movement rondo of Piano Concerto K. 414, for instance, contains fermatas with a variety of purposes. Two structural fermatas in this Rondo movement, the first indicates a cadenza and the second one calls for an *Eingang*. Within the *Eingang*, as shown in Example 8, which occurs before the last orchestra ritornello, there are fermatas each indicating different functions, such as announcing the *Eingang*, opening the space for caesura arch, calling for pauses and silence, and serving as a lead-in. After the first fermata on the dominant seventh chord, which announces the *Eingang* opening with a flourish scale, the second fermata on the dominant seventh is prepared and intensified by a subdominant-sixth chord with a syncopated rhythm. The second fermata creates a space for a caesura arch, the energy-gain to energy-loss plan. The energy-loss was manipulated by the Adagio tempo marking and two fermatas that call for pauses and silence. The last fermata serves as a short that leads the return of refrain (as illustrated in Ex. 8b).

[3] Wolfgang Amadeus Mozart, *The Letters of Mozart & His Family*, based upon the standard German edition of the Mozart family correspondence by Ludwig Schiedermair; trans. and ed. by Emily Anderson; with extracts from the letters of Constanze Mozart to Johann Anton André trans. and ed. by C. B. Oldman Emily Anderson, vol. III, (London: MacMillan and Co., 1938), 1248.

Example 8: *Eingang* in the Third Movement of Piano Concerto K. 414



<u>*Eingänge*: Expanded Caesura Arch Prepared by Dominant Seventh Chords</u>

As shown in Example 8, the expanded caesura arch is prepared by another dominant seventh chord. This example demonstrates how Mozart writes his *Eingänge*: Mozart includes brilliant figurations on a dominant seventh chord that are followed by a caesura arch, an expanded space that allows for more expression. Especially after a vigorous retransition, a broader pause is required to resolve the tension in a satisfying manner, thus necessitating the expanded caesura arch. Hepokoski and Darcy explain that the expansion between the transition and second theme may "suggest the need for a larger space of energy-loss after a particularly vigorous retransition, and may suggest an improvisatory moment of wit, surprise, or strain within

otherwise normatively constructed surroundings."[4] It provides an analog to the expanded space in the *Eingänge*, which allows more creatively crafted materials and serves a variety of expressive purposes, for instances, the use of ornamentation for the desired effect, stylistic references to the earlier style of fantasia and toccatas, and the motivic reference to its corresponding concerto movement.

In their description of an expanded caesura space, Hepokoski and Darcy go on to say, "Creating this wider caesura-gap may reflect a particular elegant shaping (similar to the exquisite crafting of a corner of a prized eighteenth-century table)."[5] A mid eighteenth-century writing desk with "extravagant inventions,"[6] shown in Figure, provides a visual image of what Hepokoski and Darcy mean by "particular elegant shaping" and shows how detailed ornaments and crafted material can create coherence within other contemporary art forms.

The desk was made by the famed German cabinetmaker, Abraham Roentgen, whose clients included Louis XVI and Marie Antoinette of France and Catherine the Great of Russia. As described by art critic Roberta Smith, this desk displays extraordinary shaping with "shifting roll-top desks and secretary cabinets, which could cost almost as much as small estates. These are resplendent with intricate marquetry, gilded mounts and precious inlay in mother-of-pearl, tortoise shell, bronze and ivory." Smith continues:

> It is quite striking to see the ornately decorated forms of the earlier pieces give way to designs in which the silken rivulets of carefully chosen wood grains provide much of the surface life, accented by increased use of the gilded mounts. Similarly, the graceful curves and intimate scale of Rococo are replaced by a stalwart monumentality in which classical columns often figure prominently.[7]

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[4] Hepokoski and Darcy, *Elements of Sonata Theory,* 41.
[5] Ibid.
[6] Wolfram Koeppe, with contributions by Reinier J. Baarsen, *Extravagant Inventions: The Princely Furniture of the Roentgens* (New Haven: Metropolitan Museum of Art), 76–81. Distributed by Yale University Press, 2012.
[7] Roberta Smith, "Where Marie Antoinette Went for Furniture," *New York Times*, November 2, 2012, C19, accessed from http://www.nytimes.com/2012/11/02/arts/design/extravagant-inventions-roentgen-furniture-at-the-met.html

Figure 4: Abraham Roentgen, Desk, 1758–60. Woodwork-furniture, h 148.5 × w 110 × d 58.5 cm. Rijks Museum[8]

Aesthetically, this beautiful writing desk shows how valued intriguing balance between ornamentation and the construction of the main subject was in both decorative art and music in the eighteenth-century. Both draw attention to the detailed ornamentation of the fabric that makes artists strive for personal expression. Likewise, in his *Eingänge*, Mozart carefully chooses his ornamentation to create both interest and coherence within the movement as a whole, for instance, in the third movement of Piano Sonata in D major, K. 311 and Fantasia in c minor, K. 475.

[8]Abraham Roentgen, *Desk*, Rijks Museum. Accessed, November 2017, http://hdl.handle.net/10934/RM0001.COLLECT.248783

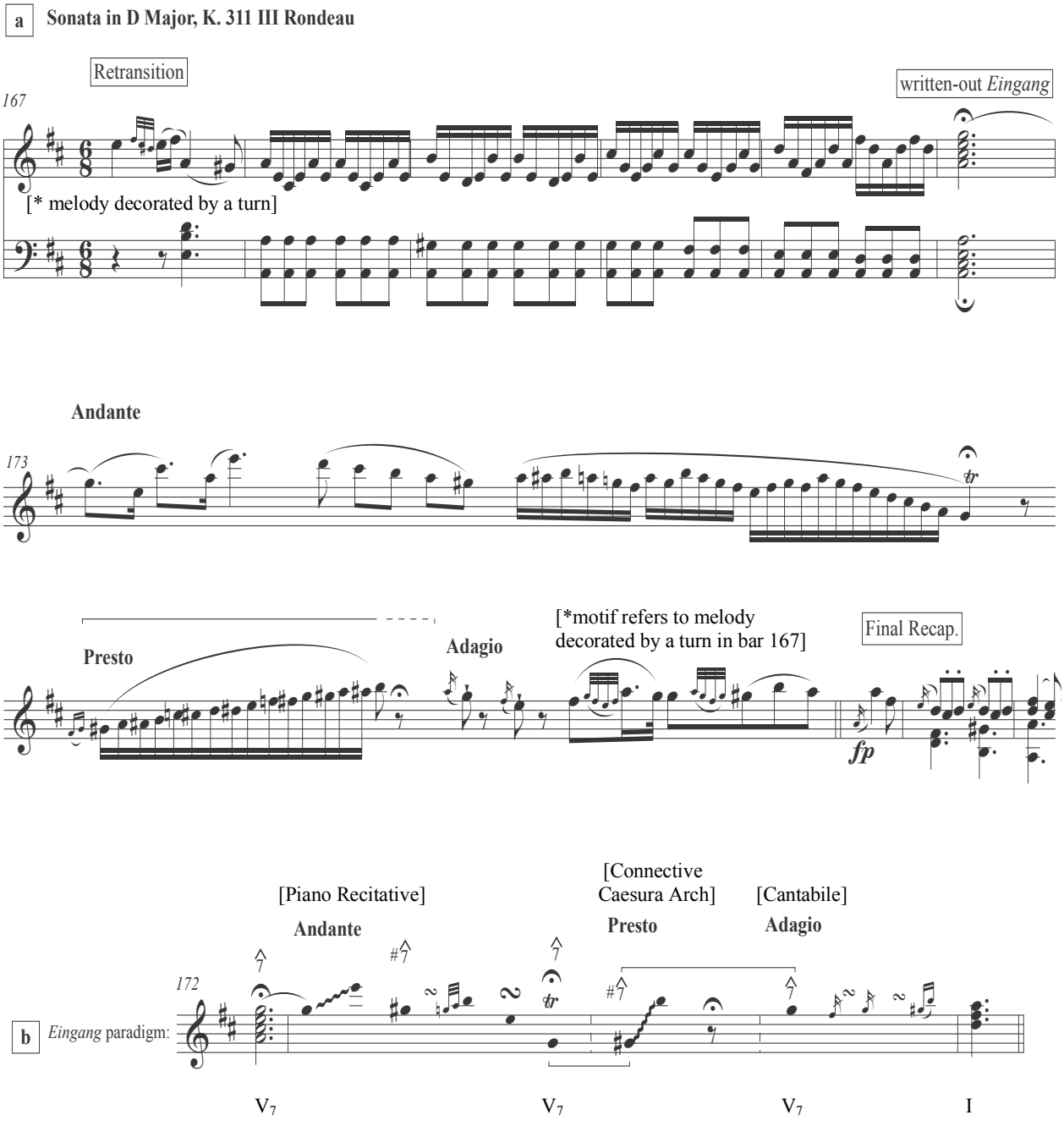
The caesura arch is elaborated and expanded into an *Eingang* in Sonata K. 311 with an organized plan; each part was indicated by fermata and tempo marking. As shown in Example 9, after an orchestral-tutti-like texture arriving on the dominant seventh in bar 172, the fermata stops the forceful tension as an announcement for the *Eingang*. The voices thin out to one, leaving the seventh of the dominant alone to connect the Andante, which contains an expressive solo melody proclaimed in vocal recitative style without adherence to a strict tempo;[9] rather than being an expressive slow passage, this Andante speaks with a gentle, relaxed tempo and only moderate solemnity so that the performer may interpret according to the bass.

When the following the brilliant energy-gained chromatic figuration runs into the Presto afterward, the second fermata, which occurs on the trill, is prepared as if to take one's breath away. The following fermata, which occurs on an eighth rest, interrupts the excitement of the presto, which features energy-loss mentioned earlier.

The last part, the Adagio in cantabile style, is highly decorated around the dominant seventh note. Ornamentation includes the use of Lombardic falling figures to represent sighs and a motif from the retransition (melody with a turn implied from retransition in bar 167) that signals the return to the tonic. This motivic reference shows expressive coherence in both *Eingänge* and the sonata movement as a whole, similar to the design and ornaments of the eighteenth-century writing desk. The final recapitulation enters fortepiano (instead of piano, as in the first return), creating a wake-up call from what one can imagine, arbitrary as an unmeasured fantasia that occurred briefly during the *Eingang*.

[9] The topic reference to the vocal declamatory style in recitative on the keyboard music can be reviews from Mary Hunter Mary, *Topics and Opera Buffa*, in *The Oxford Handbook of Topic Theory*, (Oxford University Press, 2014-11-06).
http://www.oxfordhandbooks.com.proxyiub.uits.iu.edu/view/10.1093/oxfordhb/9780199841578.001.0001/oxfordhb-9780199841578-e-3.

Example 9: Piano Sonata in D, K. 311 III. Rondo [Andante – Presto – Adagio] – Tempo Primo



The seventh of the dominant, as mentioned earlier, is the connective device and pivoting point that Mozart utilizes when playing around with the audience's anticipation. Moreover, it is a

control grab[10] for an improviser to use as an indication for a clause closure when switching figurations. Here, as shown in Ex. 9b, the seventh of the dominant displays a more distinctive role: the sharp seventh (in the key of dominant), as in the Andante, is a pivot point for figuration that shifts the opening dotted proclamation into a highly ornamented scale; whereas the seventh (in the dominant chord), indicates the point of arrival.

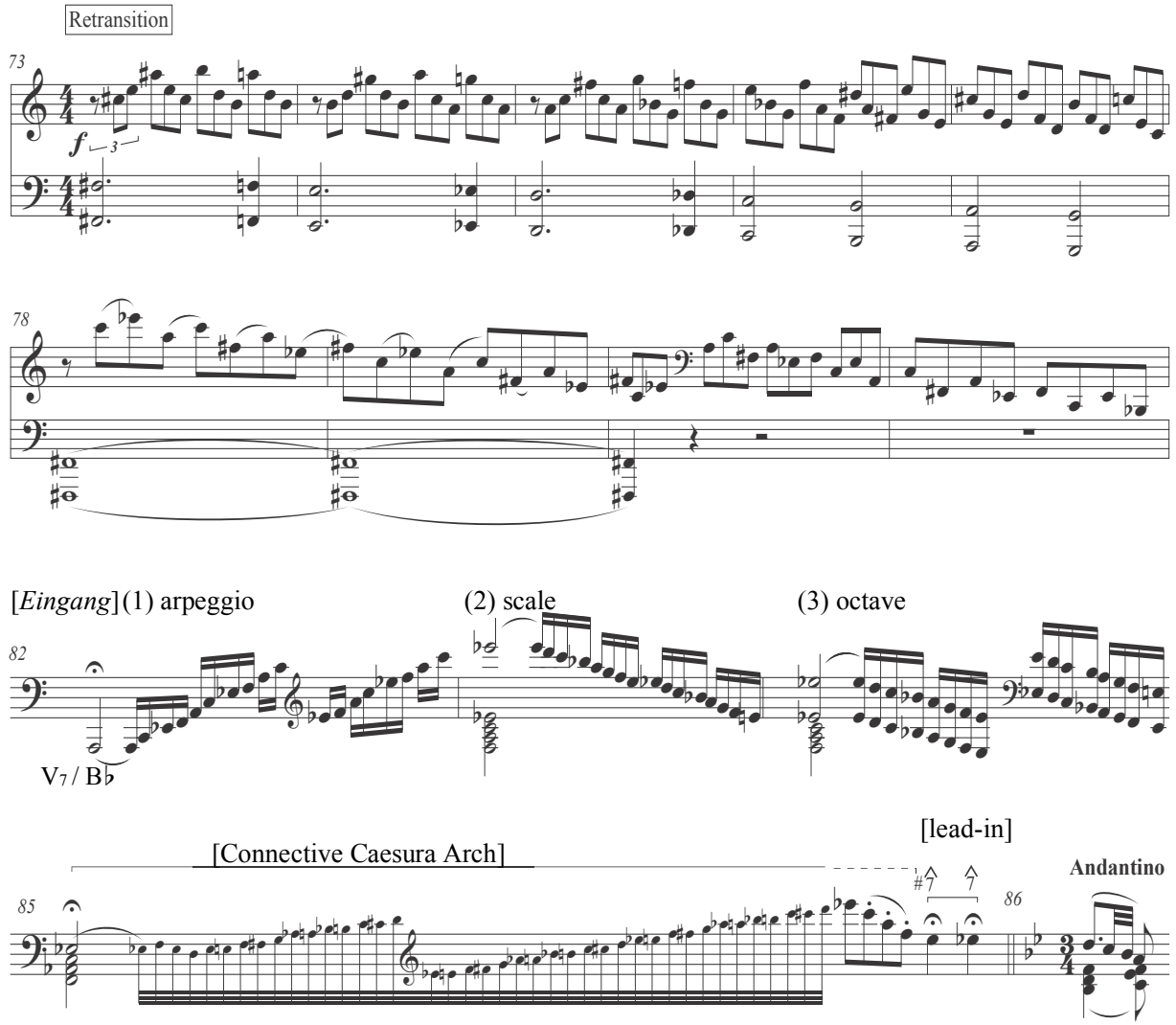
Besides representing topic with highly ornamented melodies, in his extended caesura arch in C minor Fantasia, K. 475, Mozart uses several different virtuosic figurations that, within only seconds, grab the audience's attention. In Example 10, after an extended passage using broken chord on a diminished seventh, from bar 82, Mozart uses figuration include: (1) an arpeggio, (2) a scale, and (3) an octave. These figurations restlessly take turns in each measure, a compositional technique that corresponds to the instructions from Daniel Gottlieb Türk, who, when discussing figurations when improvising cadenzas, states, "Variety is necessary if the attention of the listener is to be held. Therefore, as much of the unexpected and the surprising as can possibly be added."[11]

Two structural fermatas are marked in bar 82 and 85: the first one sets up a joyful B-flat major mode in the Andantino by repeatedly arriving its dominant-seventh chord, three times steady block chord that begins each passage as the affirmation form three hammer blows. The second fermata in bar 85 shows the caesura arch: energy initiation using chromatic scale that crosses over four octaves and energy-loss with graceful articulations on a simple descending arpeggio on dominant-seventh chord. The brief passage in the second half of bar 85 has only five notes, which suggests cantabile in *ad libitum*, with unstrict tempo. The last two fermatas, on E

[10] A "control grab" is a useful technique that an improviser can use during performance at a moment when he feels a lack of creative inspiration or loses a sense of direction on stage. See Chapter Twelve, page 340.
[11] Daniel Gottlieb Türk, *School of Clavier Playing*, trans. Raymond H. Haggh (Lincoln: University of Nebraska Press, 1982), 300.

and E-flat, the indicative pivoting notes ♯7th versus 7th, a pivot which calms the previous energy and provides an elegant curtsy that, as a lead-in, welcomes the entrance of Andantino in joyful B-flat major mode.

Example 10: Mozart, Fantasia in C Minor, K. 475, Adagio



The Lead-in of Expanded Caesurae Space: Cantabile Style and Cadential Trill

A "lead-in," a term introduced by William Rothstein, which he cites from Koch, is a translation of the German term *Eingang*.[12] It refers to a short passage that flows with continuity to link the end of a phrase or a section to the beginning of the next. I borrow the term "lead-in" for the final stage of the *Eingang* which denotes to the brief final portion of these large *Eingänge*. These brief lead-in, usually contain only two notes on the dominant sevenths or a trill, often provide an anticipation for the return of the theme and is equally balanced in an extended caesura space, in an expanded caesura arch or *Eingang*.

The energy-loss passage in bar 85 of K. 475 (mentioned in Ex. 10), which contains both a cantabile singing style and lead-in gestures, ultimately unfolds in one phrase. When interpreting, it would be appropriate for the performer to choose a flexible tempo that stretches and releases according to how contemporary performers conceived tempo rubato in vocal practice. Transferring related vocal styles and performance approaches to the keyboard was a common practice about which composers offered advice and opinions. As early as 1615, in the preface tohis Toccate e Partite, Girolamo Frescobaldi warns:

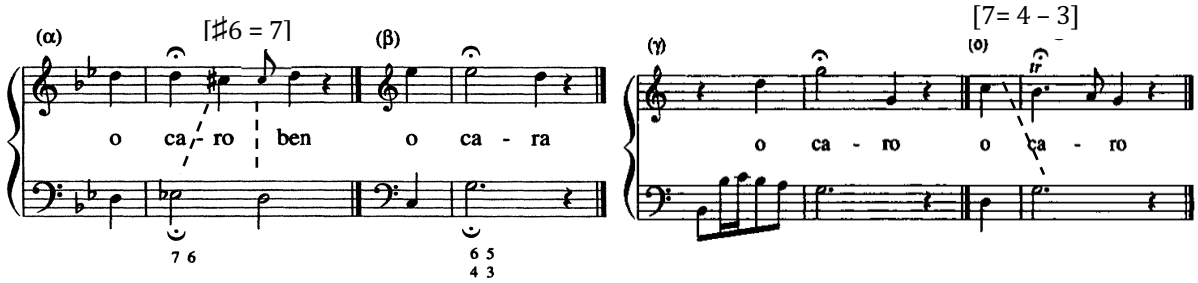
> First of all, this style of playing must not be governed by a [regular] beat but resembles the performance-style of modern madrigals which, however difficult, are easily managed by making the beat sometimes quite slow and sometimes fast, and occasionally even suspending it as it were in mid-air, according to the affetti or sense of the words…[13]

In his Introduction to the Art of Singing, Pier Francesco Tosi (1653–1782) suggests that when playing an *ad libitum* cantabile passage, the tempo must be tailored to the bass harmonic motion. He explains how to interpret cantabile singing in places prolonged by the fermata sign

[12] William Nathan Rothstein, Phrase Rhythm in Tonal Music (New York: Schirmer Books, 1989), 51–2.
[13] Girolamo Frescobaldi, *Toccate e Partite d'intavolatura di cimbalo...libro primo (Rom, Borboni, 1615, [2]1616)*, Ed. No. BA 8412, (Kassel: Bärenreiter, 2009), preface translated by Christopher Stembridge.

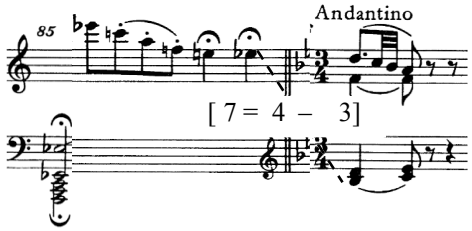
using rubato, trills, and messa di voce. Shown in Example 11, Tosi uses Greek characters for his musical examples to explain different practices surrounding the fermata. He justifies the ideas that one may linger on the seventh (α), the cadential six-four chord (β), and the tonic chord (γ and δ). For instance, to embellish the long note, a trill might be used on the dissonance (especially 7 –6, 4 –3), as in ex. (α), on the C-sharp. Likewise, a trill with a turn (slow termination) might also be applied, as shown in (β).[14]

Example 11: Singing Style in the *Eingang* as Illustrated by Tosi



Using Tosi's vocal treatise as a foundation and comparing it to the *Eingang* passage in bar 85 of the K. 475 (see E. 12), we understand that Mozart wrote the fermata sign on the E-flat to invite the performer to linger for longer. The fermata sign on the E-flat is the 7th of the dominant and also contains the dissonant 4th that needs to be resolved to 3rd at the same time, connecting to the next section in the B-flat key.

Example 12: Comparing the Singing Style in the *Eingang* of Mozart's K. 475, bar 85



[14] Tosi and Agricola, *Opinioni de' cantori antichi e moderni*, 212–213.

Lead-in Trill

As stated earlier, Tosi suggests using trills and messa di voce as another way to embellish such a long note on fermatas, on the dissonance. Compared to the fermata on the E with the one on the E-flat in Example 12, it would be appropriate and tasteful to linger for longer on the second E-flat, as a means of lingering on the 4th, or if one wishes to apply a trill on the E-flat,

Given that applying the trill without caution could yield an undesirable result, Tosi warns that "the singer should hold notes without 'trembling' (vibrato), practicing long, steady tones to avoid 'Flutt'ring in the Manner of all those that sing in a very bad taste."[15] Besides applying trills, the performer can convey the cantabile quality on long notes through use of the messa di voce, which involves swelling from soft to loud and then back again on a single pitch. If this technique is used sparingly and on only open vowels, as mentioned by Tosi, it can "never fail to have an exquisite Effect."[16] From Tosi's discourse, we can see that if a cadenza consists of only two notes, it is enough to add a messa di voce and a trill to complete the cadenza.

One of Tosi's contemporaries, Giambattista Mancini, also asserted the idea of adding a messa di voce and a trill to complete a short cadenza within two notes. In his 1774 treatise, Mancini praised the trill as the most beautiful ornament and suggested that it would be absolutely necessary on a fermata:

> This embellishment gives to the ear and soul of the audience, the fullest admiration, tenderness, pleasure and love. For instance, take a singer who has a good voice, easy execution, good taste and refined style, perfect cadences, genuine passages and "Fermate" but no trill, and on the other hand, take a singer with only a few of the above mentioned qualities, but possessing the trill and ask the audience who is the better. How can you doubt. The second of course, is the

[15] Pier Francesco Tosi, *Observations on the Florid Song; or Sentiments on the Ancient and Modern Singers*, 2nd ed., trans. John Ernest Galliard (London: J. Wilcox, 1743), reprinted with a new preface by Paul Henry Lang (New York: Johnson Reprint Corporation, 1968), 27.
[16] Ibid., 28.

> preferred. Liked and honored. Such an answer is given because the perfection and beauty of the art of singing is the trill. [17]

He echoed Quantz's assessment that the cadenza "should be performed in one single breath" and further noted that a cadenza can "include the cadential trill; it should begin with a messa di voce."[18]

Achieving a cantabile singing style may be more demanding on keyboard instruments than with the voice, but it can be done successfully with proper attention to detail and effort. Johann Mattheson supports this, saying that while sung music has words to express meaning, the performer of instrumental music must express meaning by "working harder." More specifically, he must:

> …know how, without resorting to words, to truly express the inclinations of the heart through the skillful combination of sounds, so that the listener completely and clearly understands the impetus, the meaning, the perspective, and the emphasis in all the pertinent sections as if it were his actual speech. It is then a pleasure! It takes much more art and a stronger imagination to bring this about without, rather than with word. [19]

The cadential trill in Mozart's *Eingänge* or cadenza movements immediately before the orchestra enters. Using François Couperin's three-part schema, analysis of the cadential trill in Mozart's *Eingänge* or cadenzas demonstrates the first part of the cadential trill, which involves the dwelling from the upper note, allows the soloist to give an elegant welcoming indication for the orchestra's preparation to re-enter.[20] The dominant seventh chord confirms the gesture and

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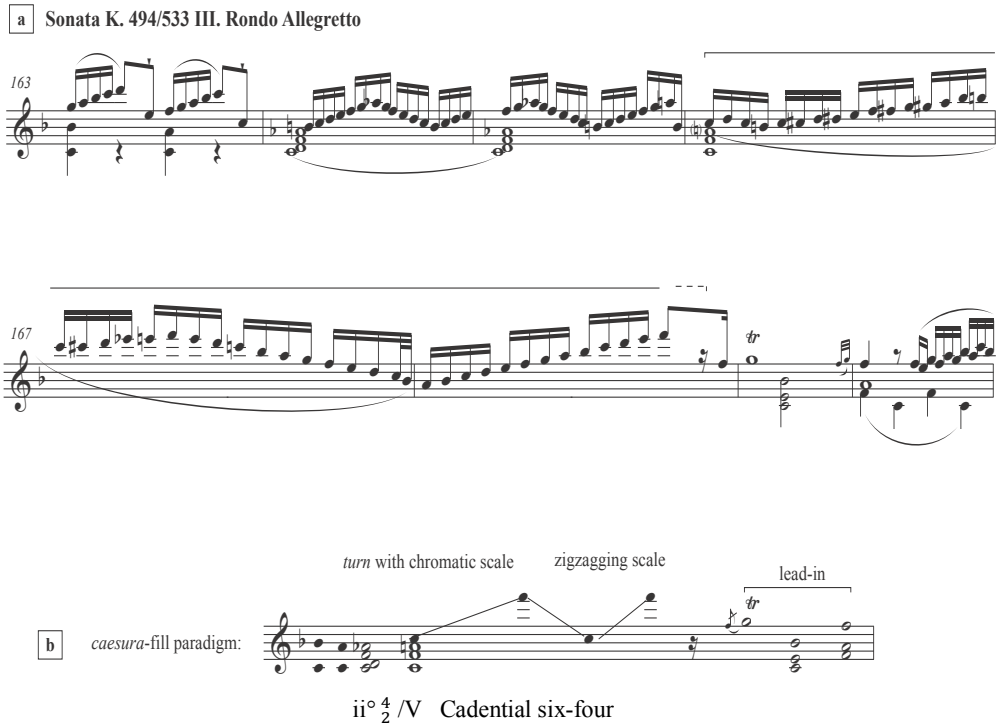
[17] Giambattista Mancini, *Practical Reflections on the Figurative Art of Singing*, trans. Pietro Buzzi (Boston: Richard G. Badger, The Gorham Press, 1912), 123.
[18] Ibid.
[19] Mattheson and Harriss, *Johann Mattheson's Der Vollkommene Capellmeister,* 82.
[20] A trill is known as a shake, starting with the tone or semitone above it, and rapidly alternating between the main note and the expected resolution that will end with a turn, which is normally slurred. François Couperin describes it thusly: "Although shakes are indicated by notes of equal value … they must nevertheless begin more slowly than they end: but this gradation should be imperceptible." He further divides the trill into three parts: the sustaining and dwelling from the note above the principal note to the principal note, the fast and short repercussions, and the stop. All these are played with arbitrary durations. See: François Couperin, *L'art De Toucher Le Clavecin: Die Kunst Das Clavecin Zu Spielen. The Art of Playing the Harpsichord,* trans. Mevanwy Roberts. (Leipzig: Breitkopf & Härtel,

enters during the second part of the cadential trill when repeated rapidly. The third part of the trill is the four-note turn at the ends of the trills, which is also called the Nachschlag. The word Nachschlag means "after stroke," and it serves as an anacrusis for conducting the orchestra so that it may re-enter on the tonic at the right moment.

Mozart uses a variety of ornamentations and notations to set up the small notes, the ornaments, according to the affect. The rhetoric of a bar-long trill establishes an expectation, and a lead-in, for the orchestra's return on the tonic. For instance, in his Sonata in F major, K. 494 rondo, he uses a cadential trill and six-four chord. Example 13 illustrates the end of a written-out cadenza that began earlier, with the fugal entrances: notice that the implied harmony at that point was cadential six-four chord, and that the harmony in bar 166 also returns to the cadential six-four chord—just before the trill. Here, K. 494 shows a miniature cadenza as in Mozart's concerto movements.

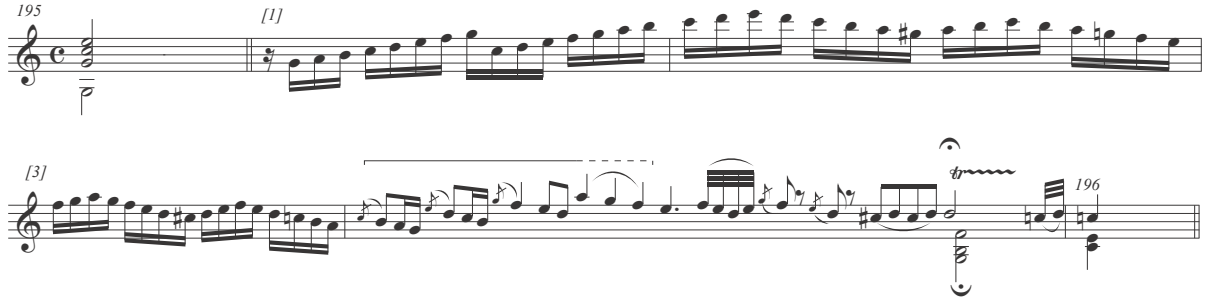
1933), 17.

Example 13: Expanded Caesura, as Written-Out *Eingänge*, Piano Sonatas



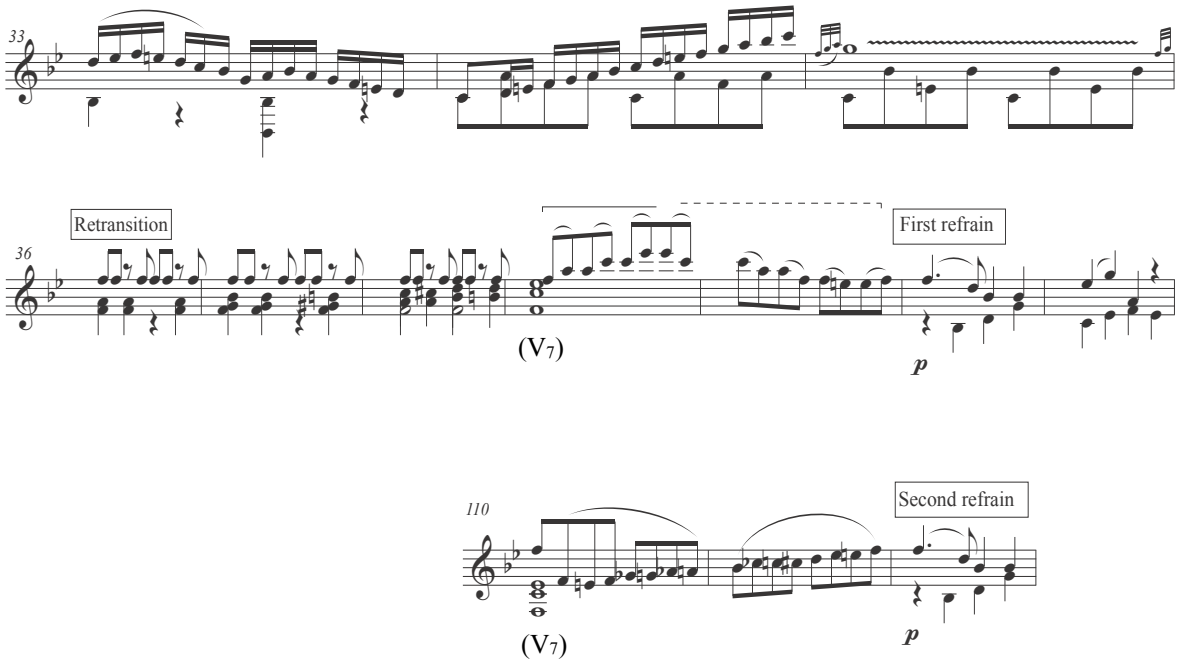
Example 14 illustrates how these ideas and the schema related to caesurae space could be applied in a cadenza of concerto movement. The cadenza of the first movement of Mozart's Piano Concerto K. 246 starts with the brilliant style and use of scales on a six-four chord. An energy-gain and energy-loss arch followed with a motivic reference to the transition. A pause on the dotted quarter note on E, which implies cantabile style on the finale six-four chord arrival and the cadential trill on dominant seventh lead the rejoin of orchestra on tonic.

Example 14: Mozart, Piano Concerto K. 246, I Allegro Aperto, Cadenza A



Types of connective caesurae mentioned above all displayed in the third movement of Sonata K. 333, in a sonata rondo form. As shown in Examples 15a, a half cadence after cadential trill at bar 36 elides with the retransition. The caesura arch, Mozart simply utilizes broken chords on bar 39, connects to the first refrain. A similar situation occurs in bar 110 before the appearance of the second refrain in bar 110 before the second refrain, this time, using a chromatic scale.

Example 15: Mozart, Piano Sonata K. 333, III. Allegretto Grazioso, Connective Caesurae
(a) First and Second Refrains: Energy-gain and Energy-loss



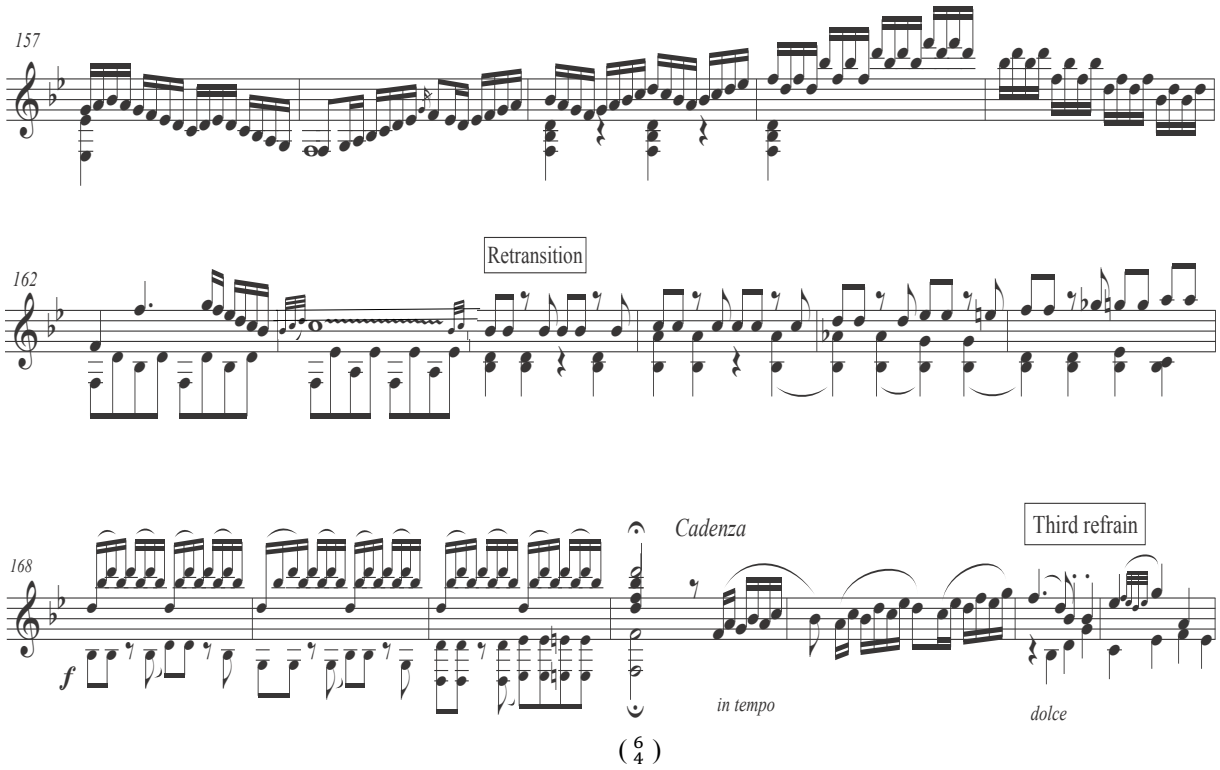
Mozart's Sonata K. 333 is in concerto style; in their description for urtext edition published by G. Henle Verlag, Paul and Eva Badura-Skoda remark that:

> this good-[humored] movement does retain a touch of seriousness—a sufficiently weighty conclusion to this fine Sonata. Several features – not least the tutti entry preceding the cadenza (m. 168) — suggest that this is a concerto movement in disguise. The insertion of a full-scale cadenza (m. 171) into a piano sonata

movement is most striking, and this powerful one is only rivaled in Mozart's Concertos."[21]

The concerto style shows in the virtuosic dominant extension, with an orchestral tutti-like texture in the retransition accumulates and reaches the energy climax on a six-four chord at bar 171. This concerto texture anticipates something more prominent, before the cadential trill reaches retransition on dominant at bar 164, a "cadenza" marked by Mozart is followed.

Example 15 (Continued): Mozart, Piano Sonata K. 333, III. Allegretto Grazioso, Caesura Links
(b) Third Refrain: Cadenza

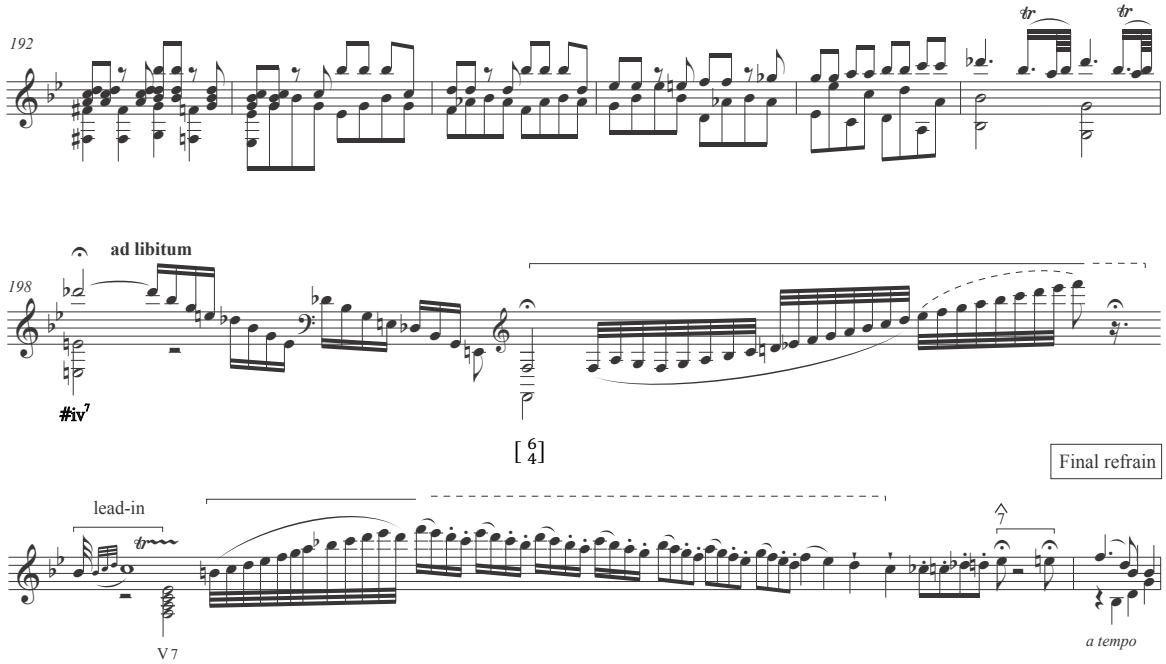


[21] G. Henle Verlag, accessed, October 2017, http://www.henle.de/en/detail/index.html?Title=Piano+Sonata+B+flat+major+K.+333+%28315c%29_397

The last fermata space refers to an *Eingang* space (see Ex. 15c) in a fantasia style, where Mozart marks ab libitum and music is freed from strict tempos at the bar-line.[22]After a dramatic turn by the diminished-seventh harmony on bar 197, the bassline moves from ♯4 –5 arriving another fermata sign on the F. Instead of return to the tonic after the lead-in trill, surprisingly, the brilliant scale that across three octaves is interrupted right away by the half step b-natural note for another energy initiation.

This extended plan shows Mozart's wit and elegance, as he uses a caesura arch that features silence and an evasive lead-in trill that opens another caesura arch followed by cantabile style and a lead-in using dominant seventh that can be interpretate in a way, with timing, to play with the audience's anticipation.

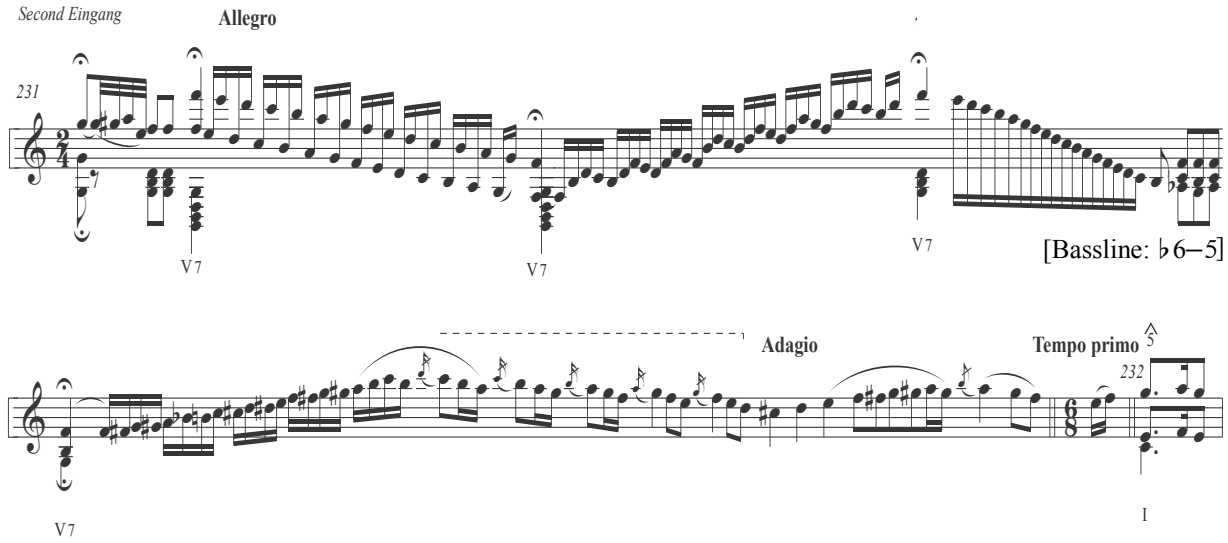
Example 15 (Continued): Mozart, Piano Sonata K. 333, III. Allegretto Grazioso, Caesura Links
(c) Final Refrain: an *Eingang*



[22] The unmeasured style may refer to a free fantasia. Türk says that a cadenza should be "more like a fantasia, which has been fashioned out of an abundance of feeling, rather than a methodically constructed composition." (*School of Clavier Playing*, 301). C. P. E. Bach's *Versuch* contains an illuminating chapter on how to improvise a free fantasia. The unmeasured fantasia in Mozart's improvisatory style will be mentioned in Chapter Three.

The use of figurations in Sonata K. 333 corresponds to those in his concerti. Similar figuration on an energy-releasing gesture with a four-note descending appoggiatura-decorated scale is shown in *Eingang* of the third movement Piano Concerto K. 415 (see Ex. 16). after using dominant-seventh hammering three times on the fermata (might refers to the three hammer blows mentioned earlier), the bassline moves from ♭6–5 (as the bassline line mentioned in Sonata K. 332 in Ex. 8a), which leads to an energy initiation by chromatic scales. The Adagio continues to lead the movement back to the last appearance of the galant theme with a coda.

Example 16: Mozart, Piano Concerto K. 415, Third Movement, Rondo Allegro, Second *Eingang*



Visualization of Extended Caesura Arch, an *Eingang*

Compared to the visualization of stairways for those in piano sonatas as mentioned earlier, the *Eingänge* in piano concerti could be understood as resembling a larger structure, such as a bridge with prominent piers. An illumination shows the Tuileries bridges in Figure 5, on a

celebration night for the Paix Générale at Paris.[23] The bridge and waterside have been decorated with fireworks that light up the sky; this activity is contrasted with tranquility on the other side of the river, where in the left foreground of the painting, two small boats float without wakes, the Cantabile.

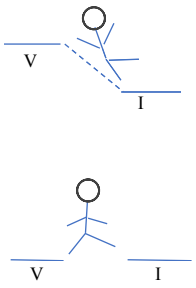
Figure 5: Prints, Ornament & Architecture of the eighteenth century, Fête pour la Paix Générale donnée à Paris le 18 Brumaire, Francesco Piranesi (Italian, Rome 1758–1810 Paris), 64 × 84 cm, Metropolitan Museum of Arts

[23] *Fête pour la Paix Générale donnée à Paris le 18 Brumaire* is one of two fête prints showing the illuminations of the Tuileries bridges for the celebration of the 'Paix Générale' at Paris, November 9, 1801', Line engraving with watercolor and gouache, text printed in gold ink, accession number: 2014.146.1, Metropolitan Museum of Arts https://www.metmuseum.org/art/collection/search/631819

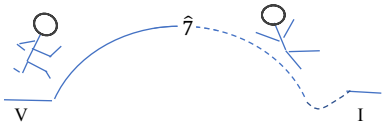
The structure of the connective caesurae that were used in this chapter can be sonclusivly seen in Figure 6, which visualizes and reviews terminology which identifies the length and types of spontaneous caesura gestures. From brief to expansive, these improvisatory connective caesurae are: caesura-link (energy-loss), caesura arch (energy-gain to energy-loss), and expanded caesurae arch which means *Eingänge* (a bridge with dominant piers).

Figure 6: Visualization for Improvisatory Connective Caesurae

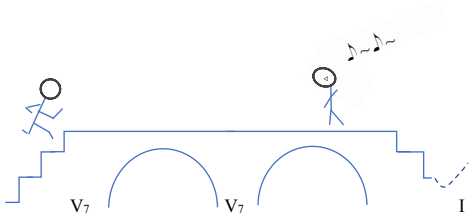
a. Caesura-Link [energy-loss]



b. Caesura Arch [energy-gain to energy-loss]



c. *Eingang*/Expanded Caesura Arch [bridge with dominant piers]



The written-out improvisatory gestures in Mozart's piano sonatas—where the retransition and connective elaboration lead from the end of an episode, at the end of the development section in sonata form, or in a rondo, to a dominant preparation that sets up the reappearance of the tonic refrain—provide evidence of the stylish grace, emphasis, and persuasiveness that these gestures can impart. Like viewing a miniature theater show, these spontaneously connective figurations in Mozart's piano sonatas, present a guide to his improvisatory style in his *Eingänge* and cadenzas. Mozart creates these moments of feigned improvisation in his connective caesura space and organizes them into a coherence theatrical display. Each fragment, figuration, and pattern serves a rhetorical purpose and relates to specific to eighteenth-century conventions and topics such as brilliant and cantabile singing style.

The descriptions of topics stem from the work of Charles Rosen, while the analytical style and vocabulary is based on Hepokoski and Darcy's definition in their Elements of Sonata Theory. The connective caesurae in Mozart's piano sonatas are either on dominant, with its expansion which refers to the *Eingänge*, or on the six-four chord which refers to cadenzas.

Isolating and defining the specific types of spontaneous connective gestures based upon length — from caesura-link, caesura arch, and *Einänge* as extended caesura bridge with dominant piers — allows a performer like myself to establish schematic formulae that enhance our understanding of how Mozart creates the effect of improvisation through these carefully constructed gestures. Moreover, comparing these types to visual analogues is a pedagogical tool that may offer performers a better understanding of both eighteenth-century aesthetics and internal musical structures.

PART II: BACKDROPS

Examining a composer's own written-out examples enriches an improviser's toolbox when spontaneously trying to recreate stylistic gestures; however, musical style cannot be absorbed merely by reading from one passage of notated notes or by understanding simple descriptions. To achieve as much unexpected variety and surprising turns to hold the listener's attention, one must practice these figurations repeatedly with imitation, transposition, and memorization until the physical habits become subconsciously ingrained in the hands and fingers, while also remaining conscious in the mind.

Part I provided a glimpse of Mozart's improvisatory language. Before further examining his written-out models in a larger sketch that include his *Eingänge* and cadenzas, the following chapters in Part II will discuss experimental expression, instrument, taste, and the aesthetics of classicism in eighteenth-century music. The importance of the improvisatory gesture and its rhetorical persuasiveness and the aesthetics of classicism behind eighteenth-century music will be introduced in Chapter Three. The musical genre, the basic harmonic language in the music itself will illustrated in Chapter Four and Five. Part II aims to provide the performer with the necessary contextual information before he embarks upon the specifics of turning formulas and patterns of figuration and harmonic progressions into stylistic improvisation.

CHAPTER THREE: THE EXPRESSION AND THE PHILOSOPHY BEHIND EIGHTEENTH-CENTURY MUSIC

Improvisation is an integral part of musical language. Musicians improvise to reflect their emotions, philosophy and aesthetics of their own time. Chapter Three examines the factors that influenced the development and performance of eighteenth-century music: the aesthetic expression of classicism, rhetorical persuasion in public entertainment, and how the experimental philosophy during the Enlightenment affected both instrumental and musical development. These stylistic influences determine approaches to improvising Mozart's *Eingäng*e and cadenzas and help performers resolve questions regarding expressive choice of ornamentation, interpretations based upon key associations, and the use of modern or historical instruments.

Doctrine of the Affections

Since Antiquity, musicians and philosophers have considered the connection between music and the emotions aroused by its performance. By the Baroque period, an extensive theory known as the Doctrine of Affections had developed; also known as "Affektenlehre,"[1] this doctrine, which was promoted and developed by academics and musicians, posited that particular types and qualities of music moved human passions in specific ways, such as the *Florentine Camerata* in Italy.[2] Johann Mattheson (1681–1764), one of the first to publish an extensive discussion about the doctrine of musical rhetoric, in the Part One of his *Der Vollkommene*

[1] The term "Affektenlehre" for Mattheson applies to the affections and not to the emotions simulated by music. The term is well explained by modern authors like George Buelow in his publication. See: *New Mattheson Studies, Johann Mattheson and the Invention of the Affektenlehre*. ed. George J. Buelow and Hans Joachim Marx (Cambridge University Press, 1983), 393–407.

[2] The Florentine Camerata were a group of humanists who met regularly to discuss the arts, especially music and appropriate musical practices. Like other intellectuals and musicians of the period, they were interested in the way music expressed meaning, particularly poetic ideas. A picture of their related performance, "*Scène de Carnaval ou Le menuet*," will be illustrated in Chapter 8, page 195 with discussion of *Eingang* of Mozart's Rondo movement.

Capellmeister,[3] he explains that music was the motion (*Gemüthsbewegung*) to the soul. According to him, musicians of the Enlightenment, during which categorization of knowledge was a general goal and tendency, ought to rationalize the emotions in order to arouse their listeners.[4] Each affect could be characterized by a specific motion of the animal spirits and represented by music. He explains:

> … joy is felt [empfunden] as an expansion of our animal spirits [Lebens-Geister], thus it follows reasonably and naturally that I could best express this affect by large and enlarged [erweiterte] intervals. Instead, if one knows that sadness is a contraction of these subtle parts of our body, then it is easy to see that the small and smallest intervals are the most suitable for this passion [Leidenschaft]. If we further consider that love is in fact essentially a diffusion of the spirits [Geister], then we will rightly conform to this in composing, and use similar relationships [gleichförmigen Verhältnissen] of sounds (intervallis n. diffusis & luxuriantibus).[5]

Mattheson's discussions of affect correspond to the six elementary passions listed by French philosopher and mathematician René Descartes in his *Les passions de l'âme* in 1649: wonder, love, hatred, desire, joy, and sadness. Moreover, Mattheson's description of animal spirits (Lebens-Geister) relates to the ideas of German religion scholar Athanasius Kircher as articulated in his *Musurgia Universalis* in 1650. Kircher expresses his concern for sound and the natural science of music that he categorizes the fundamental affections as love, sorrow, joy, anger, compassion, fear, insolence, and wonder.[6] He lists an abundance of musical guidelines regarding intervals and affects to be followed in order stimulate the individual affections.

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[3] Johann Mattheson and Ernest Charles Harriss, *Johann Mattheson's Der Vollkommene Capellmeister: A Revised Translation with Critical Commentary* (Ann Arbor: UMI Research Press, 1981).

[4] Mattheson mentions *Gemüthsbewegung* in many occasions in his *Der Vollkommene Capellmeister*; one of these examples is shown in Part I, Chapter 3, No.55, page 104, where he describes the benefit that a composer knows how to arouse the nature affection: "Die Natur=Kündiger wissen zu sagen, wie es mit unsern Gemüths=Bewegungen eigentlich und so zu reden cörperlich zugehe, und es ist einem Componisten ein grosser Vortheil, wenn er auch darin nicht unerfahren ist." In Part I, Chapter 2, No.24, page 90, he mentions that music stirs the heart or soul as "wie eine solche Music zu verfertigen, und in die Ausübungs=Wege zu richten sey, die dem Sinn des Gehörs, das in der Seelen wohnet, durch die Werckzeuge der Ohren gefalle, und das Hertz oder Gemüth tüchtig bewege oder rühre.

[5] Mattheson and Harriss, *Johann Mattheson's Der Vollkommene Capellmeister,* 104–5.

[6] Athanasius Kircher, *Musurgia Universalis: Sive Ars Magna Consoni Et Dissoni, In X Libros Digesta,* (Rome: Franceso Corbelletti, 1650), Vol. II, 142. Quot. from *Athanasius Kircher*, 227–8.

Kircher's interests also extended to anatomy, and as shown in Figure 7, he included diagrams designed to demonstrate how the head and ear receive and react to music.[7]

Figure 7: Athanasius Kircher, *Head and Ear in Cut-away Anatomic Style*, Vol. 1 (Af-x.9): plate between pages 14 & 15, The Glasgow University Library Special Collection

The relationship between human instinct in music and philosophy corresponds to Johann Mattheson's and Kircher's idea of *Lebensgeister*. According to Kircher, in his *Musurgia Universalis*, *Lebensgeister* refers to affects that are aroused by the so-called animal spirits flowing in nerves and stimulating physiological processes such as blood circulation.[8] In his recent study on the relations between music and nerves, doctor James Kennaway writes that in the late eighteenth century, "concerns about the moral threat posed by music were partly

[7] Athanasius Kircher, *Musurgia universalis sive ars magna consoni et dissoni in X libros digesta ...2 tomi,* Facsimile reprint with hand coloured illustrations, Sp Coll Ferguson Af–x.9–10, http://special.lib.gla.ac.uk/exhibns/month/nov2002.html
[8] Danuta Mirka, *The Oxford Handbook of Topic Theory* (New York: Oxford University Press, 2014), 10.

replaced by the idea that it could over-stimulate a vulnerable nervous system, leading to illness, immorality, and even death."[9] To show the nervous tension or the moral threat that some believed to arise from sensual music, Kennaway recounts the following story:

> Mrs. William Parkes, in her 1829 Domestic Duties, Or, Instructions to Young Married Ladies, offered a stark warning that music can even cause miscarriages and make a woman infertile. Moreover, Thomas Clarkson's Portraiture of Quakerism, published in 1807, implicitly links music's injurious effects to female sexuality, arguing that the nervous strain of music gives women 'a weak and languid constitution,' and is likely prevent them from becoming 'healthy wives, or healthy mothers, or the parents of a healthy progeny.'[10]

The English artist, William Hogarth (1697–1764) painted a satirical moralizing series concerning the aristocracy. One of these, *Marriage A-la Mode*, depicts how an upper-class home can be thrown into chaos from the influence of immoral behavior (see Figure 8).[11] The husband, the Viscount, has dropped his sword on the floor while his legs are positioned to reflect his exhaustion. His dog sniffs a lady's cap in his pocket, which shows that he probably came home drunk from a late-night party. The wife has a flirtatious look on her face and her dress is not closed at the top, suggesting that she had an affair with a lover while her husband was out. The accountant is despairing the number of unpaid bills. To reinforce the idea that music was seen during this time as a symbol of pleasure and lack of control, a violin and music book are scattered on the floor on an overturned chair.

Interestingly, during this period, music was often related to physiological disorders. Hogarth's eighth painting, *A Rake's Progress,* (see Figure 9) shows patients who are suffering

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[9] James Kennaway, "From Sensibility to Pathology: The Origins of the Idea of Nervous Music around 1800," *Journal of the History and Medicine Allied Sciences* 65, no. 3 (2010), 396–426.
[10] Ibid., 420.
[11] *Marriage A-la Mode*, Date: about 1743, medium: Oil on canvas, dimensions: 69.9 x 90.8 cm acquisition credit: bought, 1824, picture downloaded from St. Vincent House, The National Gallery Picture Library, https://www.nationalgalleryimages.co.uk/imagedetails.aspx?q=NG114&ng=NG114&frm=1

from various delusions, but next to the staircase a musician stands very clearly with a wild look, playing a violin with the musical score placed upon his head.

Figure 8: Oil on Canvas in 1743, *Marriage A-la-Mode: 2, The Tête à Tête*, William Hogarth, 69.9 x 90.8 cm, The National Gallery Picture Library

Figure 9: Engraving of Seventeenth-Century Madhouse, *A Rake's Progress,* William Hogarth, 35.4 x 40.5 cm[12]

[12] William Hogarth, *A Rake's Progress,* Plate 8, Harris Brisbane Dick Fund, 1932. Accession Number: 32.35 (35), Metropolitan Museum of Art, accessed May, 2017, https://www.metmuseum.org/art/collection/search/403276.

As mentioned, music was seen as a sensory stimulation that aroused emotion and nervous tension in the eighteenth century. Among the discussion of emotions, Mattheson suggests that a composer should be able to distinguish each emotional range. He explains:

> Desire cannot be separated from love. Love is concerned with the present and desire looks to the future and, as a rule, is intrinsically more violent and impatient. One must invent and arrange one's music according to the manifold character of desire, as well as with regard to what is wanted or desired.[13]

Two distinct expressions during this period are worth mentioned for understanding Mozart's improvisational language: the irrational and rational. These two expressions display contradictory emotions; the irrational was exaggerated and related to nerves tension, while the rational was controlled and subdued.

Irrational: C. P. E. Bach, the *Sturm und Drang*, and *Empfindsamkeit*

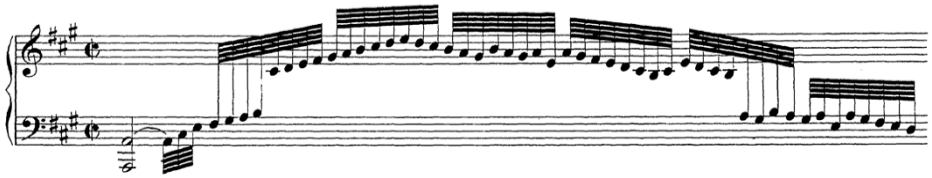
An excellent example of the irrational expression between music and the actual nervous system can be found in the music by Carl Phillip Emanuel Bach, which frequently employs sudden changes of affect that shift back and forth through myriad contrasts in character, dynamics, speed, mood, and gesture. These characteristics in his music correspond to the movement of *Sturm und Drang*, which was popular around 1770. The musical style of *Sturm und Drang*, as Daniel Heartz and Bruce Alan Brown describe, can be used "to frighten, to stun, to overcome with emotion. In line with these aims was an extreme emphasis on an anti-rational, subjective approach to all art."[14] The use of murky bass, syncopation, jagged melodic lines are present in in Bach's Fantasia in A Major, H. 278 (1782), which musicologist Matthew Head, reinforcing claims first put forth by Bach biographer Carl Friedrich Cramer (1752–1807), argues

[13] Mattheson and Harriss, *Der Vollkommene Capellmeister*, 106.
[14] Daniel Heartz, and Bruce Alan Brown. "*Sturm und Drang*" (Grove Music Online, 2001). https://doi-org.proxyiub.uits.iu.edu/10.1093/gmo/9781561592630.article.27035.

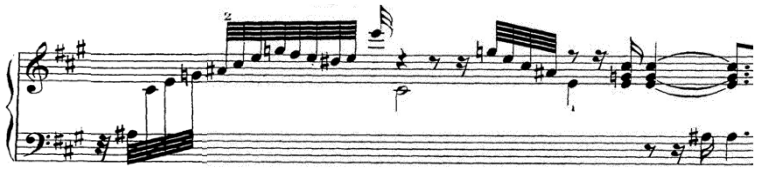
may have been written during the composer's "agonies of gout."[15] C. P. E. Bach suffered from severe physical pain, and his illness may have had an impact on him psychologically as a performer and composer. According to Head, Cramer related different types of physical and mental pain with specific musical gestures (see Ex. 17),[16] such as "flying pain incarnated" in the fast toccata-like gesture that opens the fantasia, "stabbing pain in the short, jerky passages" on diminished seventh arpeggios, a "troubled soul" in the dotted rhythms, and a "disordered minuet dance" in the middle section.[17] In so doing, not only did he assert that music and the body are connected, but also he defined the intimate feelings and sensitivity or the *Empfindsamkeit*.

Example 17: Cramer's "Pain" Description in C. P. E. Bach, Fantasia in A Major, H. 278

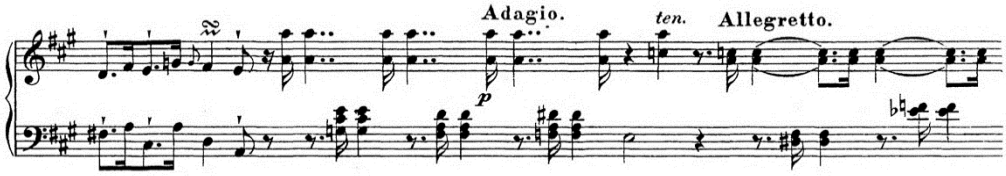
Flying pain incarnated:



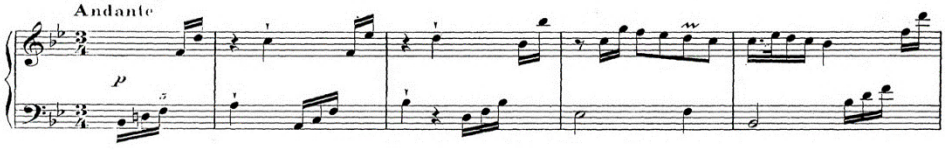
Stabbing Pain:



Troubled Soul:



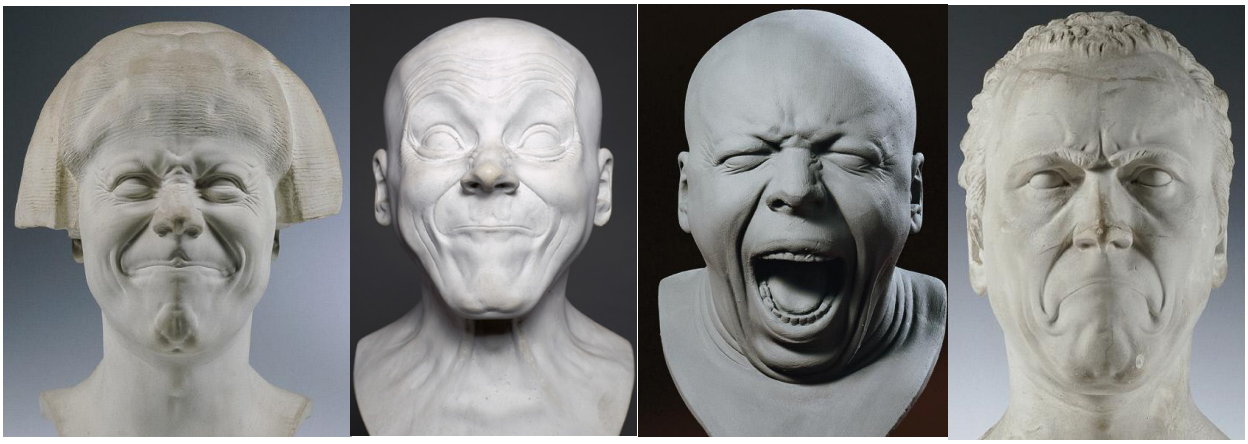
Disordered Minuet Dance:



[15] Matthew Head, *C. P. E. Bach 'In Tormentis': Gout Pain And Body Language In The Fantasia In A Major, H. 278*, Vol. 13, Issue 2, (Cambridge University Press, Sep. 2016), 211–34.
[16] Musical examples selected from Matthew Head's quote of Carl Friedrich Cramer.
[17] Ibid., 223–30.

Art echoes the social milieus, philosophies, and expressions that run parallel to music. To enhance the understanding of C. P. E. Bach's unique style, Figure 10 shows irrational facial expressions with exaggerated muscle lines and lifted eyebrows of the *Character's Heads* by sculptor Franz Xavier Messerschmidt (who lived about 400 miles from Emanuel Bach).[18]

Figure 10: Expressions of Irrational, Franz Xavier Messerschmidt, Johannes Stoll, ca. 1780



Ein schmerzhaft stark Verwundeter (a painfully, severely wounded woman)

Ein wollüstig abgehärmter Geck (an impertinent hated man)

Der Gähner (the yawner)

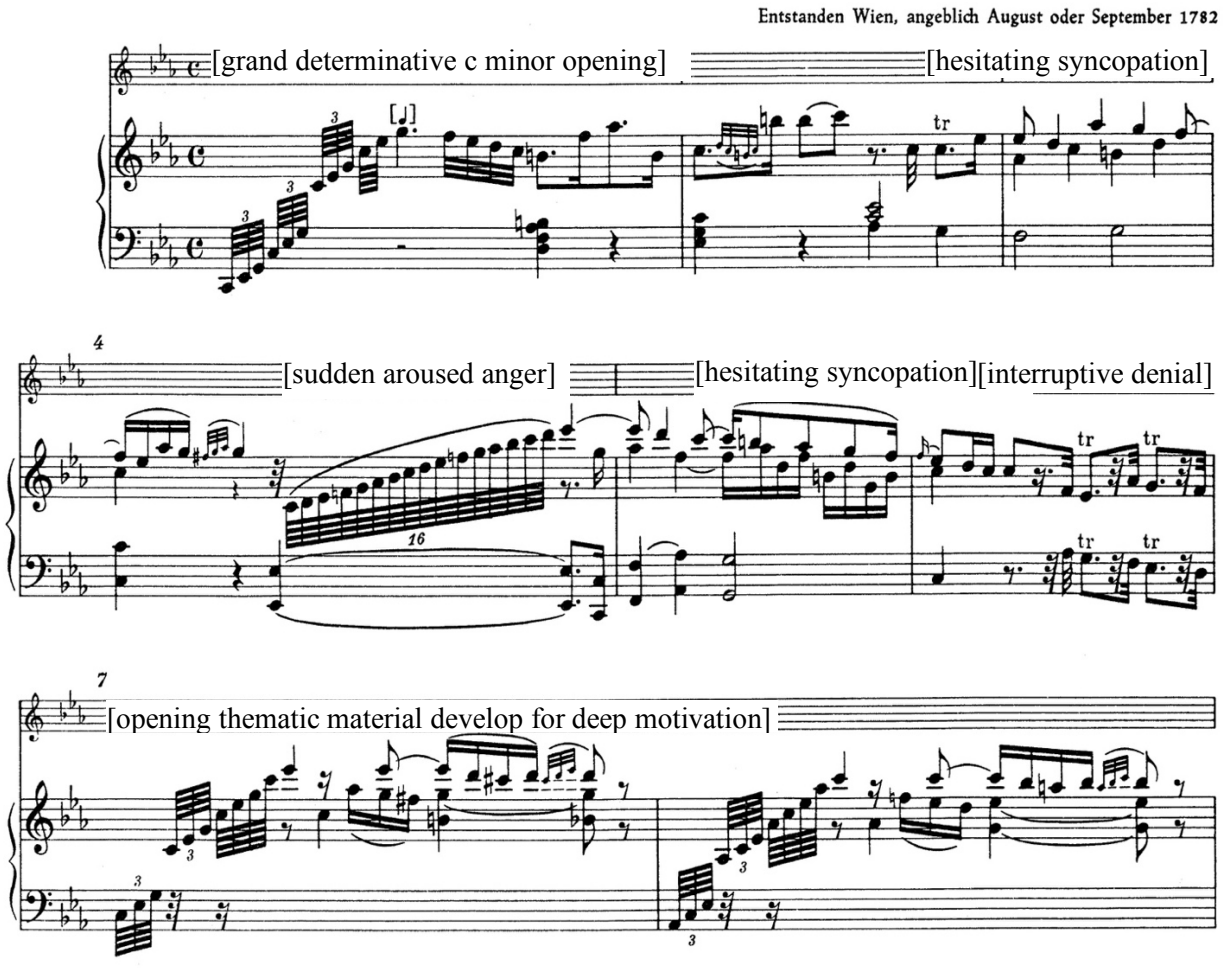
Ein mürrischer alter Soldat (a discontented old solider)

In C. P. E. Bach's music, these sudden changes of effects are brief, within one short phrase or right after rests, and usually appears in fragmental sections, without bar lines. In Mozart's fantasias, K. 394 in C major, K. 396 in c minor, and K. 475 in c minor, although shifts between effects are constant, the expression is well-calculated (with bar lines) and shows longer

[18] Sculptures of "Character Heads" by Franz Xaver Messerschmidt (Wiesensteig, German, 1736 –1783), downloaded from Digital Collection of the Belvedere, Vienna. Pictures from left to right: *Ein schmerzhaft stark Verwundeter*, 45 x 26 x 24 cm, Charakterkopf Nr. 19, https://digital.belvedere.at/objects/4421/ein-schmerzhaft-stark-verwundeter?ctx=82ff6c94-7938-4034-902c-60fe7e5ae1f3&idx=22; *Ein wollüstig abgehärmter* Geck, Charakterkopf Nr. 2, 43 x 23 x 28 cm, http://digital.belvedere.at/objects/4417/ein-wollustig-abgeharmter-geck; *Variante zu "Der Gähner,* 43 x 22 x 24 cm, https://digital.belvedere.at/objects/4445/variante-zu-der-gahner?ctx=cd13bef0-3eb3-458e-8e30-d9c32572b47c&idx=37; *Ein mürrischer alter Soldat*, H 42 cm, Charakterkopf Nr. 38, https://digital.belvedere.at/objects/11441/ein-murrischer-alter-soldat?ctx=1086e076-140e-4668-a27a-80d92705ce06&idx=60.

musical phrases. Example 18 presents this other expression, in rational philosophy of Mozart's fantasias;[19] two main themes/characters appear in the beginning eight-bars, a grand determinative opening and a hesitating syncopation. These themes are interrupted by a sudden burst of anger in the second half of bar 4 and a denial that seems to say "no" by use of shivering trills in bar 6.

Example 18: Mozart, Fragment for Fantasia in C Minor, K. 396, bars 1–8



[19] Labels for expression are the author's interpretation according to these of Cramer regarding C. P. E. Bach.

Rational: Aesthetics of Classicism

Rational philosophy of the Enlightenment is illustrated by sculptures of Jean Antoine Houdon and Jean-Baptiste Pigalle in Figure 11. These sculptures are characterized by a smooth facial surface. Their well-formed and controlled technique shows a contrast to the exaggerated heads. Both irrational and rational expressions reflect the attitude of how people in the eighteenth century reacted to changes of emotion through the range of well-calculated and refined art forms.

Figure 11: Rational Expression in Marble Sculpture
(a) *Denis Diderot* (1713–1784), Jean Antoine Houdon, 1773[20] (Left)
(b) *Madame de Pompadour* (1721–1764), Jean-Baptiste Pigalle, 1714–1785[21] (Right)

[20] Jean Antoine Houdon (Versailles, French, 1741–1828), *Denis Diderot* (1713–1784), Height (bust): 40 cm; Height (stand): 11.9 cm, 1713, gift of Mr. and Mrs. Charles Wrightsman, 1974, Accession No.: 1974.291, New York, Metropolitan Museum of Art, https://www.metmuseum.org/art/collection/search/205719.
[21] Jean-Baptiste Pigalle (French, 1714–1785), *Madame de Pompadour* (1721–1764), 75.9 × 47.3 × 28.9 cm, The Jules Bache Collection, 1949, Accession Number: 49.7.70, New York, Metropolitan Museum of Art, https://www.metmuseum.org/art/collection/search/200564.

The dialectic of restraint and expression is one of the phenomena in classicism. In order to provide a clear explanation of classicism/neoclassicism, musicologist Keith Chapin clarifies that classicism is "a model of excellence," and a "disciplined posture or form, sometimes expressed as the maximal coexistence of radical opposites: restraint and passion, unity and variety, simplicity and richness, individuation and general comprehensibility, subjectivity and objectivity, etc." Chapin continues and considers views of natural science in music, remarking that "the idealization of nature and the belief that certain styles and genres serve as its expression and metaphysics of embodiment in which an ideal finds a perfect physical manifestation."[22]

An image of the embodiment of expression and unity that corresponds to Chapin's conclusion is shown in Figure 12: a lighthearted, elegant, and ornate furniture corner settee in a florid theme representative of early eighteenth-century Rococo style of Bayreuth, Germany.

Figure 12: *Settee* (one of a set), 1763–64, attributed to Johann Michael Bauer (German, Westheim 1710–1779 Bamberg). Carved, painted and gilded linden wood, squab pillow in silk velvet, 109.2 x 138.4 x 64.1 cm, Metropolitan Museum of Art[23]

[22] Keith Chapin, *Classicism/Neoclassicism*, ed. Stephen C. Downes, *Aesthetics of Music: Musicological Perspectives* (New York: Routledge, 2014), 148.
[23] "Settee", The Lesley and Emma Sheafer Collection, Bequest of Emma A. Sheafer, 1973. Accession Number: 1973.356.120a, Metropolitan Museum of Art, https://www.metmuseum.org/art/collection/search/209104

Daniëlle Kisluk-Grosheide, a museum curator for the Metropolitan Museum of Art, explains that the Bayreuth style prefers naturalism in interior design and was characterized by naturalistic motifs in the florid style, such as flowers, foliage, reeds, and birds.[24] Similar themes are often heard in Mozart's piano music, such as a birdcall-like ornamentation using trills in his Rondo in D Major, K. 382 and the florid and playful melodies in his Sonata in B-flat Major, K. 333.

In a letter to his father in 1781, Mozart talks about his work on *Die Entführung aus dem Serail* and explains his choice of keys for an effect of restraint. He writes:

> For just a man in such a towering rage oversteps all the bounds of order, moderation and propriety and completely forgets himself, so must the music too forget itself. But since the passions, whether violent or not, must never be expressed to the point of exciting disgust, as music, even in the most terrible situations, must never offend the ear, but must please the listener, or in other words must never cease to be music, so I have not chosen a key foreign to F (in which the aria is written) but one related to it- not the nearest, d minor, but the more remote a minor.[25]

However, not every contemporary of Mozart's time was adhering to the concept of constraint mentioned above. For instance, much of Haydn's music remains distinctly different from Mozart's with irregular phrase structure and frequent use of nervous basslines, constant motivic developments in fragment, and unpredictable rhythmic patterns that sometimes seem manic. These stylistic features often related him to C. P. E. Bach and the aforementioned *Sturm und Drang*.[26]

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[24] Daniëlle O. Kisluk-Grosheide, Wolfram Koeppe, William Rieder, and Joseph Coscia. *European Furniture In the Metropolitan Museum of Art: Highlights of the Collection* (New York: Metropolitan Museum of Art, 2006), 153–57. Also see: https://www.metmuseum.org/art/collection/search/209104

[25] Wolfgang Amadeus Mozart, *The Letters of Mozart & His Family*, based upon the standard German edition of the Mozart family correspondence by Ludwig Schiedermair; trans. and ed. by Emily Anderson; with extracts from the letters of Constanze Mozart to Johann Anton André trans. and ed. by C. B. Oldman Emily Anderson, vol. III, (London: MacMillan and Co., 1938), 769.

[26] The expression of linking qualities of stressful restlessness in figuration, rhythm, and mode of Haydn and *Strum und Drang* has been mentioned by many music theorists; however, it is a controversial association. The purpose of this chapter is to point out different expressions that later can be added to a performer's improvisatory tool box. For

In performance, the sound experience produced by an improviser can connect to an aesthetic style and can arouse the corresponding emotion in listeners. In the introduction to his book, *The Improvising Mind*, Aaron L. Berkowitz explains that improvisation is spontaneous creativity "with constraints,"[27] and he adds that these constraints include both stylistic and performative ones. The former is the use of musical materials that correspond to the musical culture and the latter is the performer's cognition including psychology, theory, and ethnomusicology, and both are combined in performance. Leonard Meyer suggests that immersion in musical style requires constant experience and practice. He says:

> The constraints of style are learned by composers and performers, critics and listeners. Usually such learning is largely the result of experience in performing and listening rather than of explicit formal instruction in music theory, history, or composition. In other works, knowledge of style is usually "tacit:" that is, a matter of habits properly acquired (internalized) and appropriately brought into play.[28]

In his *Versuch*, C. P. E. Bach says, "A musician cannot move others unless he too is moved."[29] Just as one must understand grammar in order to fully express oneself linguistically, a performer must understand a composer's language—the philosophy and aesthetics—before applying the composer's stylistic vocabulary to his or her own playing, thereby lending variety, innovation, and contemporary relevance to established musical forms.

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further comparison of C. P. E., Haydn, and *Strum und Drang*, see: Clive McClelland, *Ombra and Tempesta*, in *The Oxford Handbook of Topic Theory* (Oxford University Press, Nov. 2004). http://www.oxfordhandbooks.com/view/10.1093/oxfordhb/9780199841578.001.0001/oxfordhb-9780199841578-e-11.

[27] Aaron Berkowitz, *The Improvising Mind: Cognition and Creativity in the Musical Moment* (New York: Oxford University Press, 2010), 1–3.

[28] Leonard Meyer, *Style and Music: Theory, History, and Ideology* (Philadelphia: University of Pennsylvania Press, 1989), 10.

[29] Carl Philipp Bach, *Versuch über die wahre Art des Clavier zu spielen*. Part I was revised by C.P.E. Bach and published in Leipzig in 1787; the quotations are taken from William J. Mitchell's translation: Essay on the True Art of Playing Keyboard Instruments, 152.

Key Characteristics as a Factor of Expressive Choice

One of the inquiries into effective tools of expression surrounds the affections and keys; for instance, in a letter that describes his opera, *Die Entführung aus dem Serail*, Mozart mentioned his choice of key for coherence and balanced expression.[30] Although the connection between keys and the affections had become controversial later in the late eighteenth century, theorists such as Donald Tovey in the nineteenth century declared that keys "do not represent important aesthetic fact."[31] George Turnbull, a theologian during the early Scottish Enlightenment, believed it was necessary to give each affect a distinguishing name:

> …yet it is certainly necessary ... If there is any reason for concluding from the pleasures of harmony we receive by the ear; from the pleasures of light, and colors, and visible beauty we receive by the eye; from the pleasures of truth and knowledge we receive by the exercise of the understanding about speculative matters; or from the pleasures of affection and passion we receive by having our pathetic part agreeably moved and bestirred: If there be any reason to conclude from these perceptions that we really have the faculty of delighting in music, distinct from that of enjoying visible beauty, and both distinct from the faculty of comparing the relations of ideas, and perceiving their agreements or disagreements, and consequently of delighting in truth; and all these distinct from the capacity of receiving pleasures from our affections duly moved (as by a good tragedy for instance): There must be good reason to conclude from the manner in which we are differently affected by the moral appearances of actions and characters, when presented to our mind, either in real life, or by imitation, that we really have a faculty of discerning the moral differences of actions and characters, distinct not only from all our outward senses, but also from the capacity of perceiving the truth and falsehood of propositions.[32]

Corresponding to Turnbull's distinction between the affects, composers from the late seventeenth century had different opinions about the effect of keys and categorized their characteristics quite differently from one another. In his study of Classic-era music, Ratner

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[30] Mozart writes "I want to create the symphony, the chorus in the first act and the final chorus with Turkish music" See: Gerhard Croll, *Wolfgang Amadeus Mozart Works for the Stage,* series II, work group 5, vol. 12: operas and singspiels, die entführung aus dem serail, (New Mozart Edition, Oct. 1981), editorial principles, XII–XIV.
[31] Donald Francis Tovey, *Beethoven* (London: Oxford University Press, 1994), 8.
[32] George Turnbull, *The Principles of Moral and Christian Philosophy*. Vol. 1: The Principles of Moral Philosophy, ed. and with an Introduction by Alexander Broadie (Indianapolis: Liberty Fund, 2005). 3/18/2018. http://oll.libertyfund.org/titles/1342#lf0968-01_mnt206

discusses the relation between affections and musical traits as defined by Johann Mattheson in 1739 and by Christian Gottfried Krause in 1752,[33] a member of the Berlin musical circle to which Quantz belonged. Ratner's conclusions are the following:

> Joy: lively clear, free tones; flowing, rather rapid style
> Hope: proud, exultant music
> Fear: groaning, trembling, broken tones
> Doubt, irregular, broken syllables
> Yearning: simple, languid tones
> Malediction: tremolo, many dissonances[34]

In her profound study on the subject, musicologist Rita Steblin summarizes the influential French composers' definitions of key characteristics.[35] Using the keys that Mozart employed in his concerto movements, Table lists Steblin's comparison of the often-quoted key descriptions by Marc-Antoine Charpentier in his *Règles de Composition* and Rameau in his *Traité de l'harmonie*, along with a list provided by Mattheson in *Der Vollkommene Capellmeister* as translated by Judy Tarling.[36] This comparison provides an expressive way to use key when improvising in Mozart's music.

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[33] See Johann Mattheson in his *Der vollkommene Capellmeister*, chapter 10, and Christian Gottfried Krause in his *Von der musikalischen Poesie.* James Harry Mallard and Christian Gottfried Krause, *A Translation of Christian Gottfried Krause's Von Der Musikalischen Poesie: with a Critical Essay On His Sources and the Aesthetic Views of His* Time, (University of Texas at Austin, 1978).
[34] Leonard G. Ratner, *Classic Music: Expression, Form, and Style, (*New York: Schirmer Books, 1980), 4–5.
[35] Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries,* 2nd ed. (Rochester, NY: University of Rochester Press, 2002), 39.
[36] Judy Tarling, *The Weapons of Rhetoric: A Guide for Musicians and Audiences* (St. Albans: Corda Music, 2004), 73.

Table 2: Comparison of Key Characteristics by Charpentier, Rameau, Mattheson, and Mozart

Keys	Charpentier (ca. 1692)	Rameau (1722)	Mattheson (1739)	Mozart (1756–1791)
CM	Gay and militant	Songs of mirth and rejoicing	rejoicing	Marching, glorious
cm	Gloomy and sad	Tender and plaintive	Lovely, sad	Tragic operatic heroine
G	Sweetly joyful	Tender and gay songs	Persuasive, serious and cheerful	Cheerful, Alberti accompaniment
gm	Serious and magnificent	Sweet and tender	Most beautiful, grace and kindness	Shifting between dark and light
D	Joyful and very militant	Songs of mirth and rejoicing Grandeur and magnificence	Noisy, joyful	Militant horn part; joyful ornaments resemble bird calls and brilliance
A	Joyful and pastoral	Songs of mirth and rejoicing Grandeur and magnificence	Lamenting, sad, playful, jesting	Pastoral and lyrical, elegant and flowing with Alberti accompaniment
f#m				Passionate, richly chromatic
F	Furious and quick-tempered	Tempests and furies	Most beautiful, virtuous	Naïve and charming with simplicity
B Flat	Magnificent and joyful	Tempests and furies	Diverting, sumptuous	Cheerful and joyful
E Flat	Cruel and hard			Warm and strong

For Mozart, keys are more neutral and straightforward in character and the modulations are closer to the main keys. In a letter to his father, Mozart described his three early concerti, composed in Vienna in 1782, as “a happy medium between what is too easy and too difficult;

they are very brilliant, pleasing to the ear, and natural, without being vapid."[37] His stylistic contrasts are balanced throughout the movements of these concerti. In Piano Concerti, K. 246 and K. 415 in C Major, and K. 382 and K. 451 in D Major are full of marching military character, richly shown in the horn parts that feature dotted rhythms and in the orchestral tutti; C major often expresses glory, and D major suggests a grandiose and military character. In the G major concerto K. 453 and A major concerti K. 414 and K. 488, melodies flow with elegant Alberti basses that use simple broken chords, while the G major supports cheerful quality with many birdcall-like ornaments. The key of A major has a richer pastoral tone quality as in the Concerto K. 622 for clarinet with its generous, warm, and lyrical solo part.

Mozart's flat-key concerti—in F, B-flat, and E-flat major—are richer and contain broader, more expressive domains. The piano solo parts are more discreet and conversational than flamboyant. F major Concerti K. 413 and K. 459 have simple charms, B-flat in K. 450 and K. 456 have very joyful attributes, and E-flat major in K. 271, K. 365, and K. 449 show a warmer, expressive tone quality. In his study of Mozart's piano concerti and their dramatic dialogue, musicologist Simon P. Keefe, writes that "Mozart's concerti are infused not only with the spirit but also with the dialogic prowess of Classical drama, suggesting a tighter bond between dramatic and musical 'classicism' than has hitherto been recognized."[38]

Mozart uses the unusual key of F-sharp minor for its special character. Compared to the obviously tragic movement in C minor, his only work in F-sharp minor is Adagio movement of the Piano Concerto in A Major K. 488, which has a poignant character. It was composed in 1786, the same year he completed his opera, *The Marriage of Figaro*. The magnificent piano solo is a

[37] Mozart, *The Letters of Mozart & His Family*, vol. III, 245–6.
[38] Simon P. Keefe, *Mozart's Piano Concertos: Dramatic Dialogue in the Age of Enlightenment* (Rochester, NY: Boydell Press, 2001), 3.

simple and haunting one that stands alone, not only because of its siciliano rhythm and expressive wind writing, but also because Mozart includes a passage that plunges the tragic character deeply into the heart.[39]

The ideas of constraint and key character are just models of the expressive choices that create balance within a movement and make it flow coherently. The value for categorizing these rhetorical gestures found in key description is to provide another effective pedagogical tool when improvising, to broaden and deepen the musical image. When exploring Mozart's fondness for musical dialogue, no single factor is sufficient to qualify his music simply.

Experimental Philosophy

The eighteenth century is also commonly known as the Age of Enlightenment or the Age of Reason. For composers, it was a transitional time during which they felt free to experiment with reasoning, logic, stability, and harmony. A variety of distinctive musical styles were produced stemming from high Baroque ornamentation practices, Galant ideas of ecstatic, pre-classicism,[40] and tonality, which later involved pre-Romanticism[41] and Viennese modernism.

"Experimental philosophy" began to appear in the titles of books associated with the Royal Society of London.[42] It had a direct impact on medicine and spread to philosophy in moral

[39] In Adagio of Piano Concerto K. 488, on bar 2, the leaps that contain diminished sevenths, especially the leap to the low E-sharp on the left hand, present an indescribable tragic expression. Detailed examination on diminished chord that expresses pain, despairing, and horror in Mozart's Opera, See: Charles Ford, *Music, Sexuality and the Enlightenment In Mozart's Figaro, Don Giovanni and Così Fan Tutte* (Farnham, Surrey: Ashgate, 2012), 110–114, 162–163.

[40] For instance, before the well-formed style was established, such as those in the sonatas, variation, or concertos by Haydn and Mozart, this improvisatory genre including free prelude and fantasia are what I defined as an experimental stage of pre-classicism.

[41] Carl Dahlhaus and Ludwig Finscher, *Die Musik Des 18. Jahrhunderts* (Laaber: Laaber-Verlag, 1985).

[42] Books associated with the Royal Society of London including Robert William Boyle (1627–31), a famous pioneer of modern experimental science and natural philosopher (one third of his publications contain titles like "experimental" and "observation"); and Henry Power (1623–1668), an English physician and experimenter, whose "*Experimental Philosophy*" was published in three volumes in London in 1664.

circles, evident in writings of George Turnbull (1698–1748) and David Hume (1711–1776), as well as in the fields of politics,[43] aesthetics,[44] and the study of human understanding that we now call psychology (evidenced in works by John Locke (1632–1704). Their domain was the study of nature, and they tried to use resources such as justification, evidence, and disposition to develop a systematic approach to promoting extensive experiments, although they were not always successful. Observation was the basis upon which to support their hypotheses.

The basis of experimental philosophy was applied to music during the eighteenth century. Scottish philosopher and theologian Turnbull discussed the connection between music and philosophy, who believed that music has an immense effect on the mind:

> …the medicinal art would extend further than to the body: it would be able to do great services to the mind, by proper applications to the body, or by proper external regimens and discipline. Upon this occasion, they have expressed a very high opinion, not only of certain gymnastic exercises, but of the power of music in particular … for delivering the mind from disorders; or for purging and refining the passions; calming, quieting, cheering, and strengthening the mind.[45]

In music, the experimental practice also encouraged exploration into the controversial topics that still fascinate musicians today, including the settlement of temperament, modes, affections, and key characters. These factors provide choices and guidance for musical expression when improvising and offer a window into the intellectual climate during this time period. Not only did the experimental philosophy have an impact on music composition in the subtleties of musical forms, but also showed itself in the development of instruments; composers and builders worked

[43] David Hume, *Enquiries Concerning the Human Understanding and Concerning the Principles of Morals* (Oxford, The Clarendon Press, 1902), 90.
[44] George Turnbull, *The Principles of Moral Philosophy: An Enquiry into the Wise and Good Government of the Moral World. ... By George Turnbull, L.L.D.* (London: printed for John Noon, 1740).
[45] George Turnbull, *The Principles of Moral and Christian Philosophy. Vol. 1: The Principles of Moral Philosophy,* ed. Alexander Broadie (Indianapolis: Liberty Fund, 2005). 09/09/2017. <http://oll.libertyfund.org/titles/1342>

together and pushed the instruments to their limits. Numerous models of keyboard instruments were produced in a short period.

The Keyboard Instruments and Experimental Philosophy

The range of keyboard instruments in the eighteenth-century shows a great variety of models and forms, although terminology differs according to time and places. The terms *Clavier* and *Tastiera* and encompass are all keyboard instruments within which can be categorized for four families: first, pipe action organs; second, fretted-and unfretted clavichord where metal tangents press the keys; third, harpsichords (*clavecin* and *cembalo*) whose own family includes spinet and virginals where the string are plucked by quills or leather when the key is pressed. The forth one, the Piano, known in the eighteenth and early nineteenth century as piano-forte and fortepiano in which hammers strike the strings.[46]

In exploring the relationship between experimental philosophy and the instrument of the day, Badura-Skota identifies an anecdote by English composer and classical scholar, Charles Burney (1726–1841), from his diary in 1747 in which he describes the fortepiano that he was often asked to play:

> It had a magnificent and new effect in the Chiar'oscuro of which with a little use it was capable. Experience was necessary to the performer upon it-which by living in the house and trying effects and discovering the degree of force or delicacy of touch it was capable of, I gained considerable credit in showing it

[46] Another hybrid of the last categories is the hammer-harpsichord. This category of keyboard instrument only provides an introductory illustration of how much varieties the keyboard instruments was during the period; however, these categories are somewhat fluid and change depending upon differing definitions in various countries. In her illuminating research, Eva Badura-Skoda remarks that she discovered that "during most of the eighteenth century the meaning of the terms *harpsichord, cembalo,* and *clavecin* differed from the way these terms have been generally perceived by many musicians in the twentieth century." See: Eva Badura-Skoda, *The Eighteenth-Century Fortepiano Grand and Its Patrons from Scarlatti to Beethoven.* (Bloomington, Indiana: Indiana University Press, 2017), vii.

> off…he called it [the instrument] in imitation of Mr. Creville's large P.F., he solicited me to display its power to the public.[47]

Detailed instruction on interpretation can be found in Carl Philipp Emanuel Bach's influential work. C. P. E. Bach, son of Johann Sebastian, died in 1788, only three years before Mozart was born. His *Versuch über die wahre Art des Clavier zu Spielen* in 1753 was the model for all of the instruction books that appeared later in the century.[48]

The introduction explains the importance of each keyboard instrument of that time and its context. C. P. E. Bach claims that "every keyboardist should own a good harpsichord and a good clavichord to enable him to play all things interchangeably"[49] and he adds, "The clavichord is needed for the study of good performance, and the harpsichord to develop proper finger strength."[50] His *Versuch* is a comprehensive treatise that deals systematically with all aspects of keyboard technique and interpretation. Part one addresses fingering, ornamentation, touch, phrasing, etc. Part Two, which appeared nine years later in 1762, presents the elementary theory and a systematic exposition of the rules of thorough bass. The *Versuch* contains fundamental principles that were adapted to fortepiano playing by Clementi, Czerny, and Mozart. Among other important topics, it includes discussion of ornamentation and the usage of appoggiaturas, trills, turns, etc. as a means of expressing affect. It also provides valuable information that musicians in the Classic Era used to address issues of performance practice including indispensable chapters on improvisation.

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[47] Charles Burney, *Memoirs of Dr. Charles Burney, 1726–1769,* ed. Slava Klima, Garry Bowers, and Kerry S. Grant (Lincoln: University of Nebraska Press, 1988), fragment 44, Autumn 1747, 72–73, quoted in Eva Badura-Skoda Eva, *The Eighteenth-Century Fortepiano*, 3. Notably, Badura-Skoda also uses this quotation to explain that Burney's use of abbreviated, "P. F." means piano-forte and refers to the hammer-harpsichord.
[48] C. P. E. Bach, *Versuch über die wahre Art des Clavier zu spielen,* Berlin, 1753, Part I was revised by C.P.E. Bach and published in Leipzig in 1787; the quotations are taken from William J. Mitchell's translation, *Essay on the True Art of Playing Keyboard Instruments* (New York: W. W. Norton, 1949).
[49] Ibid., 37.
[50] Ibid., 38.

Stylistically speaking, this *Versuch* is tailored to Bach's own *Empfindsamkeit* style and for his favorite instrument, the clavichord. Bach, writing in Northern Germany with the experience of instruments in that region and in Berlin, compares the clavichord with the new fortepiano invented at that time. He writes:

> The more recent fortepiano, when it is sturdy and well-built, has many fine qualities, although its touch must be carefully worked out, a task which is not without difficulties. It sounds well by itself and in small ensembles. Yet, I hold that a good clavichord, except for its weaker tone, shares equally in the attractiveness of the fortepiano, and in addition features the vibrato and portato, which I produce by means of added pressure after each stroke. It is at the clavichord that a keyboardist may be most exactly evaluated.[51]

Bach thought that both the clavichord and fortepiano share similar singing qualities although their mechanical actions differ.[52] On the subject of performance, Bach mentions that "the whole approach to performance will be greatly aided and simplified by the supplementary study of voice wherever possible and by listening to good singers."[53] Later, he adds, "Above all, lose no opportunity to hear artistic singing. In so doing, the keyboardist will learn to think in terms of song. Indeed, it is a good practice to sing instrumental melodies in order to reach an understanding of their concert performance."[54]

Instrument builders continued to experiment the construction and mechanism of keyboard instruments throughout the eighteenth century, reflecting the aesthetic of its own time. An unsigned article in the *Augsburger Intelligenzblatt* from October 5, 1769 documents describes such mechanical changes. The article reads:

> With regard to his finished invention of the polytonoclavichordium, this is an artificial combination of harpsichord with quills and forte-piano flügel; with it can be played elegantly soft, loud, tender and melancholic, joyful and languishing

[51] Ibid., 35–36.
[52] When the keys are depressed on the clavichord, the strings are struck from below by metal tangent chaffs in direct contact with the string, whereas the fortepiano employed the so-called hammer action.
[53] C. P. E. Bach, *Versuch*, 13.
[54] Ibid., 151.

> harmonies. Mr. Stein, after ten years of attempts and experiments *has altered the mechanism* of the tied single instrument, which has been named fortepiano… because it [usually] is hard to play and not all ornaments can be performed on it, and [I succeefully] avoiding these shortcomings.[55]

Likewise, composers continued to explore new sounds and different possibilities on the new keyboard instruments. For instance, In his letter to his publisher, Haydn wrote to Artaria in 1788 that he need to purchase a fortepiano by Wenzel Schantz: "In order to compose your three clavier sonatas particularly well, I was forced to buy a new fortepiano…I should like to ask you, Sir, if you would be kind enough to pay 31 ducats I shall repay to you, with thanks…"[56]

In his variations in F minor "Un piccolo divertimento" Hob. XVII/6, composed in Vienna in 1793, Haydn highlights the expressive capabilities of the five-octave instrument,[57] employing its most extended register (F_1 to F_6, especially in the last two bars) and utilizing a variety of dynamic and articulation makings with "commanding assurance and sensitivity."[58] The minor theme, which is filled with tragic intensity, was possibly inspired by the death of Maria Anna von Genzinger, a close friend of the composer whom he called the "highly esteemed and kindest Frau von Genzinger."[59] Haydn repeatedly advised her that his keyboard music could no longer be played on the harpsichord (because of its changing style, not because Haydn felt the harpsichord was inferior). His letter to Gerzinger in June 1790 documents one such instance, as Haydn explains:

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[55] Translated by Eva Badura-Skoda from an unknown article, Badura-Skoda uses this quotation to explain Stein's communication of the improved construction for the fortepiano. See: Badura-Skoda, *The Eighteenth-Century Fortepiano*, 328.

[56] Joseph Haydn, *The Collected Correspondence and London Notebooks of Joseph Haydn,* compiled and translated by H.C. Robbins (London: Barrie and Rockliff, 1959), 79.

[57] The compass of a five-octave fortepiano was strung in brass and iron with triple stringing for the top octave and a half. It features a divided bridge for the brass strings in the bass which allows for a smooth transition for the tension between the brass and iron. There is a knee lever to operate the sustainer and moderator and a bassoon stop for the lower half of the keyboard.

[58] H. C. Robbins Landon and David Wyn Jones, *Haydn: His Life and Music*, (Bloomington: Indiana University Press, 1988), 282

[59] Maria Anna von Genzinger died in Janurary 1793, H. C. Robbins Landon links the minor tragedy to her death. See: H. C. Robbins Landon, *Haydn.* (London: Faber and Faber Ltd., 1972), 559.

> It's only a pity Your Grace doesn't own a Schantz fortepiano, on which everything is better expressed. I thought that Your Grace might turn over your still tolerable piano to Fräulein Peperl [harpsichord], and buy a new one for yourself. Your beautiful hands and their facility of execution deserve this and much more. I know I ought to have composed this Sonata in accordance with the capabilities of your piano, but I found this impossible because I was no longer accustomed to it.[60]

Moreover, Haydn explains his preference to the light-toned fortepiano made by Schantz brothers on his letter on 4 July 1790:

> I know Herr von Nikl's fortepiano [for which Mozart prefers]: it's excellent, but too heavy for Your Grace's hand, and one can't play everything on it with the necessary delicacy. Therefore, I should like Your Grace to try one made by Herr Schantz, his fortepianos are particularly light in touch and the mechanism very agreeable. A good fortepiano is absolutely necessary for Your Grace, and my sonata will gain double its effect by it.[61]

During this period, builders of pianos and composers worked together to extend the instruments' range and expressive effects. In his interview with Laurinel Owen, Malcolm Bilson, an American pianist and musicologist, explains how excited the listener would be by an instrument being pushed to its limit. He says:

> Mozart, Beethoven, or any really good composer writes specially for a particular instrument because each has its own color and, more importantly, what one might recall its "expressive identity." Let me give you a ridiculous example. Pavarotti is paid a lot of money to sing a high C and it is thrilling to hear a tenor go up to that note and hold it. But if a soprano were to sing that same C, which is in the middle of her register, the excitement would be lost.[62]

Within only one hundred years, keyboard instruments underwent a vast revolution, stimulated by the experimental philosophy during the Age of Enlightenment. Improvisation, likewise, is a common practice encouraged by social custom.

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[60] Joseph Haydn, *The Collected Correspondence and London Notebooks of Joseph Haydn,* compiled and translated by H.C. Robbins Landon (London: Barrie and Rockcliff, 1959), 106.
[61] Ibid., 107.
[62] Laurinel Owen*, International Piano,* "Profile: Malcolm Bilson, Fortepianist" May/June 2007.

Mozart's Keyboard Instrument

Mozart's life spanned the period of experimental development of the design, material, range, and structure of the early fortepianos. Each was made by hand of chosen wood, so each instrument had its own voice. He was acquainted with and wrote for clavichord (see Fig. 13), harpsichord, fortepiano, organ, and clock organ.

Figure 13: Mozart's Clavichord: Unknown, 1780, Austria or Bohemia, F to f''[63] (Left)
Figure 14: Mozart's Fortepiano: Anton Gabriel Walter (1752–1826), 1782, Vienna. F to f.'''[64] (Right)

One of Mozart's favorite keyboard instruments was the five-octave fortepiano made by Anton Walter (1752–1826), which Mozart played at a benefit concert in the Royal and Imperial National Court Theatre in 1785 (see Fig. 14). According to the description from the Mozarteum Foundation, Walter was regarded as "one of the pioneers in building fortepianos in Vienna; for

[63] "Mozart's Clavichord", w 141 × d 46 × h 78 cm, Walnut wood and bone platelets, renovated by the Rück Company in Nuremberg, walnut wood and bone platelets, cathedral Music Association and Mozarteum in Salzburg Mozart- Museen & Archiv, Internationale Stiftung Mozarteum, accessed May, 2017, http://www.mozarteum.at/en/museums/mozarts-original-instruments.html.
[64] "Mozart's Fortepiano", Walnut wood, ebony, and bone. Dancing Master's Hall (Makartplatz 8, Salzburg), Cathedral Music Association and Mozarteum in Salzburg, Internationale Stiftung Mozarteum, Mozart- Museen & Archiv, Internationale Stiftung Mozarteum, accessed May, 2017, http://www.mozarteum.at/en/museums/mozarts-original-instruments.html.

decades, he was among the best makers of instruments for professional use." The composer's son Carl donated it to the Mozart Museum in Salzburg in 1856. Likewise, Mozart also enjoyed the instruments made by Johann Andreas Stein. We can find evidence in *The Letters of Mozart and His Family* of how especially delighted Mozart was by Stein's fortepianos. Mozart wrote to his father on 17 October 1777:

> Now I much prefer Stein's [fortepiano], for they damp ever so much better than the Regensburg instruments. When I strike hard, I can keep my finger on the note or raise it, but the sound ceases the moment I have produced it. In whatever way I touch the keys, the tone is always even…

Use of Damper as a Choice for Expression

The damper mechanisms on the fortepiano affect technique, and Mozart commented about this in another letter to his father in which he wrote, "The device [damper] too, which you work with your knee, is better on this than on other instruments. I have only to touch it and it works; and when you shift your knee the slightest bit, you do not hear the least reverberation."[65] Malcolm Bilson gives a further explanation that the damper can induce silence to make small slur articulations clear; it does this so well that no other keyboard instrument can imitate it, and he states that "the damping is almost the chief characteristic of the Viennese piano."[66]

An important factor in fortepiano performance is that the period of decay in sound is relatively brief; thus, instead of using pedals as a device for the ongoing control of tone production, as on the later forms for the piano, it is employed as a special effect, almost a way of ornamentation as the vibrato or a choice of coloration and effect for improvisation.[67] For

[65] Mozart, *The Letters of Mozart & His Family*, ed. by Anderson and Schiedermair, vol. II, 480–481.
[66] Malcolm Bilson, "*The Viennese Fortepiano of the Late 18th Century*" *Early Music* 8, no. 2 (1980): 160.
[67] Detail description of the pedal mechanism and its effect on early fortepiano, see: Paul Badura-Skoda, "Mozart without the Pedal?" *The Galpin Society Journal* 55 (2002): 332-50. doi:10.2307/4149048.

instance, the "moderator," operated by hand and produces a softer and mellow tone, is suitable when composers marked pianissimo.[68] In an improvisatory piece, such as a fantasia or prelude, the use of the knee pedals, which disengages the dampers while allowing the continuing vibration of the strings, provide a variety of tone colors when making contrast expression.[69]

The sound of the leather, the wire, and the wood within the fortepiano, as well as the whole substance of the instrument creates a unique sound, one which was new and astonishing to Bilson, who explains why he started to play the fortepiano and continue on this journey:

> I began to appreciate the extremely beautiful sound of the instrument, less rich and juicy than that of its modern counterpart, but so much more varied in character and timbre; and I also discovered that Mozart's music was eminently realizable on this instrument. The small articulation slurs to be found everywhere in his music came out so naturally on the fortepiano, which strove, as did Mozart's music itself, not for richness of sound, but for lightness, clarity and elegance.[70]

Although the style of this type of Viennese fortepiano was dominant for only a short period of time, its unique tonal palette, light mechanism, and irreplaceable timbral qualities shaped the stylistic idioms and characters of the Classical era. For instance, as Bilson says, the small articulation slur that is used to expresses details in Mozart's cantabile style and which appears everywhere in his music, comes out very naturally on the fortepiano. Artists do not need to work hard to control the finger muscles in order to taper the short slur. It presents perfectly the intricacies of Mozart's compositions.[71]

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[68] Besides the knee pedal, there is a handstop moderator, which located in the center of the fortepiano, above the keys, and facing the performers. The moderator produces a softer tone by placing strips of finely woven cloth between the hammers and strings. Some of the five-octave fortepianos have this advantage, but not the original Stein fortepiano.

[69] The use of pedal as one of the expression choices will be examined in Chapter Four with respect to Mozart's modulation preludes.

[70] Ibid., 158.

[71] However, it is not necessary to abandon modern instruments. Having an awareness of the keyboard's qualities during the period in which the repertoire was composed is valuable when using any keyboard instrument in order to apply full comprehension of style and to create music that will have an exciting impact on the listeners.

Improvising in the style of eighteenth-century music allows musicians to review the century's experimental transition and the development in forms, temperament, and instruments that reflect discussions of modes, affects, and characters. Mozart says, "The less learned cannot fail to be pleased, though without knowing why."[72] When improvising, these factors all have an impact on performance. In her work on rhetoric designated for both musician and audience, Judy Tarling describes, "… once the connection has been made in the performer's mind, a new attitude towards performing develops, usually to beneficial effect. The study of the principles of rhetoric is likely to enhance performance, whether by a soloist or a group."[73] Tarling continues, "The chain of experience in any performance is in three parts: the composer, the performer and the listener."[74] I would suggest one more factor when referring to the topic of improvisation: the instrument. The performer (and his or her understating of the composer), the instrument, and the audience create a "gold triangle" during any good performance. During the process of improvisation, an experienced performer can negotiate the complexity of improvisation according to the variety of factors mentioned above. Furthermore, he or she can adjust the sound and articulation according to how the instrument responds to the venue.

By understanding of the range of color and timbre of the keyboard instruments from this period, performers can improve the execution, articulation, and interpretation of this repertoire, and feel comfortable spontaneously creating idiomatically tasteful embellishment based on educated choices. Thus, performers can comfortably use different keyboard instruments effectively as a vehicle to convey emotions and ideas.

[72] Mozart, Anderson, and Schiedermair, *The Letters of Mozart & His Family*, vol. III, 245–6.
[73] Tarling, *The Weapons of Rhetoric,* 4.
[74] Ibid., 71.

The Philosophy of Rhetoric and its Gestures

The doctrine of rhetoric created by writers from antiquity is "the art of using language effectively so as to persuade or influence others, especially the exploitation of figures of speech and other compositional techniques to this end."[75] Judy Tarling states that "the object of rhetoric is to ensure that the message enters 'the eyes of the mind,' holds the listeners' attention and affects their emotional center." She continues, "that the musician might borrow the techniques of 'eloquence' and 'oratory' as applied to speech to improve their communication skills with audiences."[76] The importance of rhetorical discipline during the Classic-era was an outgrowth of prevalent musical thought in music before the eighteenth century; instead of informing the audiences, the purpose of making music was to move the passions. The power of rhetoric corresponds to the ability of moving the audience when improvising *Eingänge* and cadenzas.

Rhetoric was an art and not a science until the mid-eighteenth century, when literary treatises such as George Campbell's *A Philosophy of Rhetoric* (1776) assigned rhetorical premises to scientific methods.[77] According to his editor Lloyd F. Bitzer, "experience, analogy, calculation of choice (probability), and especially testimony" are key supports for his logical argument.[78] Wit, satire (parody), and judgment are the qualities of a good speaker in a naturally agreeable manner. The agreeable manner, Campbell explains, is "when the terms or expressions are in other respects equal, that ought to be preferred which is most agreeable to the ear."[79] He continues, "The agreeable in things may be adumbrated to us by smooth and pleasant sounds, the

[75] "Rhetoric, n.1," *Oxford English Dictionary Online*, June 2017, http://www.oed.com.proxyiub.uits.iu.edu/view/Entry/165178?rskey=DpqAqk&result=1&isAdvanced=false (access September 20, 2017).
[76] Tarling, *The Weapons of Rhetoric*, 3–4.
[77] George Campbell, *The Philosophy of Rhetoric: By George Campbell, ... In Two Volumes. ...* (London: printed for W. Strahan and T. Cadell, and W. Creech at Edinburgh, 1776).
[78] George Campbell, *The Philosophy of Rhetoric*, ed. Lloyd F. Bitzer (Carbondale: Southern Illinois University Press, 1963), quot. from editor's intro, xxxix.
[79] Ibid., 158.

disagreeable by such as are harsh and grating. Here it must be owned, the resemblance can be but very remote, yet even here it will sometimes serve to enliven the expression."[80] Campbell's agreeable manner corresponds to the natural science of music indicated by Mattheson, who adds that in music, extreme emotions should be restrained in an agreeable range. Mattheson says:

> As far as anger, heat, revenge, rage, fury, and all other such violent emotions are concerned, they are far more suitable to all sorts of musical inventions than the gentle and agreeable passions, which must be treated with more refinement…Each of these harsh characteristics demands its own particular treatment and, despite strong expression, must have a proper singing quality. This is our general rule that should never be forgotten.[81]

During the eighteenth century, the freedom of artistic expression in an individual without rules or models became central in all of the arts. Tarling explains that that "the term 'musical character' now replaces 'affect' and … the work 'effect' to mean sound effects rather than emotional 'affect'."[82] The aspect of artful speaking was slowly changing its influence on personal expression during the galant period; however, it was not merely a theoretical approach to articulation and persuasion, but it was still a critical part of curriculum in school and meant to be a practical guide for composers and improvisers, who, in a way, were themselves composers during live performance.

Improvisation as Exhibition of Thoughts

As mentioned earlier, the experimental aspect also thrived in the development of various tools in this period. During the late eighteenth century, magnifying instruments such as telescopes and microscopes promoted sensory extension and diversified the available forms of at-home entertainment. These contrasted with the publicly-projected form of mass entertainment in

[80] Ibid., 327.
[81] Mattheson and Harriss, *Der Vollkommene Capellmeister*, 108.
[82] Tarling, *The Weapons of Rhetoric*, 43.

theaters, whose many shows with special effects were popularized in the mid-seventeenth century,[83] including magic lantern shows, which used light to project scenes painted on glass, as shown in Fig. 15, an illustration depicting a magic lantern show about the Boston Tea Party. Other special-effect shows included shadow shows (reflections of actors hidden behind the stage as spectral holograms), moving pictures, scientific demonstrations and lectures (whose scale varied from small demonstrations to large theatrical experiments), light shows, and fireworks spectacles.[84]

Figure 15: Political Cartoons with Lantern Projection, *The TEA-TAX-TEMPEST, or OLD TIME with HIS MAGIC LATHERN*, 1783, William Humphreys, Lilly Library Image Collections[85]

[83] For instance, Don Juan was often featured in street theatre and puppet shows. It was chosen as a topic with mass popular appeal in Mozart's *Don Giovanni*.

[84] The fireworks spectacles were mentioned in Chapter One page 15. Details description on the entertainment in the eighteenth century, see: Richard Altick, *The Shows of London: A Panoramic History of Exhibition, 1600–1862* (Cambridge, Mass./London: Harvard University Press, 1978), 22–34.

[85] The Library of Congress describes this cartoon as: "Cartoon shows America, seated on the left, and a sombre Britannia treated to a glass lantern presentation on the American Revolution;" see: Library of Congress, (London: Published by W. Humphreys N 227 Strand, March 12, 1783), accessed December 15, 2017, https://www.loc.gov/item/97515218/. The image of the cartoon was downloaded from Indiana University's Lilly Library Image Collection; see: William Humphreys, *The tea-tax-tempest, or Old Time with his magick-lanthern*, Lilly Library Image Collection, accessed December 15, 2017, http://purl.dlib.indiana.edu/iudl/lilly/VAC1755/VAC1755-35001.

In her recent publication, musicologist Deirdre Loughridge associates the keyboard fantasia (as a free style of improvisation) with the relationship between the body and mind. According to Loughridge, magnifying instruments, like those mentioned above, contributed to the desire to know the soul. Loughridge quotes from E. T. A. Hoffmann's fairy tale, *Master Flea* (1822), "which features a tiny microscope that, when inserted into the eye, reveals to its wearer others' true, unspoken thoughts – these appearing as complex branching formations deep within their brain."[86] Loughridge concludes her discussion linking magnifying instruments and keyboard fantasizing:

> Keyboard fantasizing is a mechanism for bringing representations—otherwise inaccessible and destined to remain in obscurity—to consciousness. Magnifying instruments and keyboard fantasizing were both to be understood in these terms… a kind of internal prosthesis, bringing phenomena not from the outside world to the senses but from inside the body to the conscious mind. Just as certain images on the retina required a magnifying instrument to bring them into mental focus, certain musical ideas in the soul required keyboard fantasizing to become audible.[87]

One of the street entertainments that utilized magnifying instruments was the peepshow, which reached its peak of popularity in the eighteenth century. By peering into a wooden box, or holes, the viewer saw a set of pictures, which created an optical effect resembling a three-dimensional stage illusion. Giovanni Domenico Tiepolo's *New World* (see Figure 16) shows the peepshow operator standing on a stool and pulling a corresponding string. A crowd of people—comprised of peasants and the middle classes and including children—has formed around the show booth with its magic lantern. The fact that all people in this painting turn their backs is quite seductive and invites the viewer to join the crowd to see what the exotic "New World" is.

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[86] Deirdre Loughridge, *Haydn's Sunrise, Beethoven's Shadow: Audiovisual Culture and the Emergence of Musical Romanticism* (Chicago: The University of Chicago Press, 2016), 46.
[87] Loughridge, 47.

Figure 16: Rococo Oil Painting on Canvas, *The New World,* Giovanni Domenico Tiepolo, 1791–1797, 205 x 525 cm, Ca'Rezzonico, the Museum of 18th century Venice[88]

According to Loughridge's research, the show presenters were travelers and wanderers who were known as "Savoyards." By the mid-eighteenth century, they organized street entertainment and performances, ultimately "developing a number of forms of entertainment successful at attracting spectators and their money."[89] Loughridge continues to describe the showman's speaking style:

> the manner of speech—his 'Savoyard tone,' as it came to be called—reflected his foreign ethnicity…the Savoyard showman was typically depicted as having a heavy accent and a tendency to lapse into Italian. He also made prominent use of wordless vocalizing, record of which comes from both street-crier prints and literary sources.[90]

Another well-known presenter is shown in Figure 17, from a competitive popular entertainment with the peepshow, the cabinet of curiosities or curiosity box. It was displayed by

[88] "The New World," Giovanni Domenico Tiepolo, digital collection of Ca' Rezzonico, the Museum of 18th century Venice, accessed December 15, 2017, http://carezzonico.visitmuve.it/wp-content/uploads/2017/08/Mondo-Novo-Rezzonico.jpg.
[89] Deirdre Loughridge, *Haydn's Sunrise, Beethoven's Shadow*, 68.
[90] Ibid., 71.

James Laroche (1734–1804), who was a child singer and actor. He was well-known for his performance of the ballad "*Raree-Show,*" played on a violin. Figure 17 shows the picture on a newspaper with lyrics and the musical score.

What made the peepshow, or the curiosity box, such popular entertainment was not just its visual apparatus, but also its auditory appeal, furnished by the presenter's narrative and presentation. He had to work with his voice, musical instrument, or an accompanist to distinguish himself from other street entertainers and win the power to attract, sustain, and intrigue the crowd's curiosity to pay for a view. Here is an example of seductive words from peepshow presenter, Sergeant Bell, as he tries to gain attention from the public:

> "Now make no noise, my girls and boys, but march forward and listen to Sergeant Bell, the raree-showman. If there are any among you who do not desire to obtain knowledge, let them go home and hide their faces with both their hands; let them blush till they are as red as a soldier's jackets; but if you all do desire to know about the wonderful things and places that are in the world, why, march forward, then, my little women and men, and see, and hear, and reap all the advantages offered you by age and experience."[91]

The effect of drawing attention from an audience finds its musical parallel in the fermata on the dominant, which opens a space for solo declamation. Similar to Sergeant Bell, the fermata commands the listener to "now make no noise."

[91] Richard Balzer, *Peepshows: A Visual History* (Watertown, Mass.: Eye Wonder Press, 1998), 13.

Figure 17: Satirical Print, *The Raree Show. Sung by Jemmy Laroch in the Musical Interlude of the Peace...,* 1713 (originally published), 1740s (reissued), 340 x 231 mm, The British Museum Collection Online[92]

This chapter uses visual analogs as a pedagogical tool to help performers relate these musical moments to their social content. An improviser, as a presenter, uses a succession of sounds to exhibit on the spur of the moment an ephemeral series of thoughts or visual events reflecting past cultural aspirations, or to explain or dramatize what is happening inside a box, or inside the composer's and performers' minds. The next chapter will focus on the importance of the improvisatory gesture and its rhetorical persuasiveness, including taste and style, musical genre, the basic harmonic language in the music itself, and how the performer might use these.

[92] "The Raree Show. Sung by Jemmy Laroch in the Musical Interlude of the Peace," paper (1860,0623.53), British Museum collection data, accessed December 15, 2017, http://collection.britishmuseum.org/id/object/PPA193255. The description for this satirical print: "A broadside satirizing the supposed results of a peace treaty…showing a showman supporting a peep show with nine scenes which stands on a stool, on the right a group of onlookers; with engraved title, numbering 1–9, and numbered verses in three columns, and at the bottom three lines of a tune." ([London], Lyne; n.d.).

CHAPTER FOUR:
INFLUENTIAL GENRES AND FIGURED BASS PRACTICES THAT INSPIRE IMPROVISATION IN MOZART'S MUSIC

In Chapter One, we considered how Mozart's improvisatory language, in his connective caesurae, prominently featured two styles: the brilliant and the cantabile. The former creates initial energy using rapid and virtuosic passing notes whereas the latter is indicated by tempo markings, articulated by slurs, and prolonged by an *ad libitum* sign. Other prominent features within these two styles factored into Mozart's improvisatory language and include the following: passages using diminution; vigorous, rhythmically decisive approaches; and tasteful, lingering trills applied to a dissonance, such as a 4–3 suspension or a dominant seventh. The use of appoggiaturas is often combined with decorative trills and is most prevalent in cadential formulas and is one of the prominent features in eighteenth-century music.

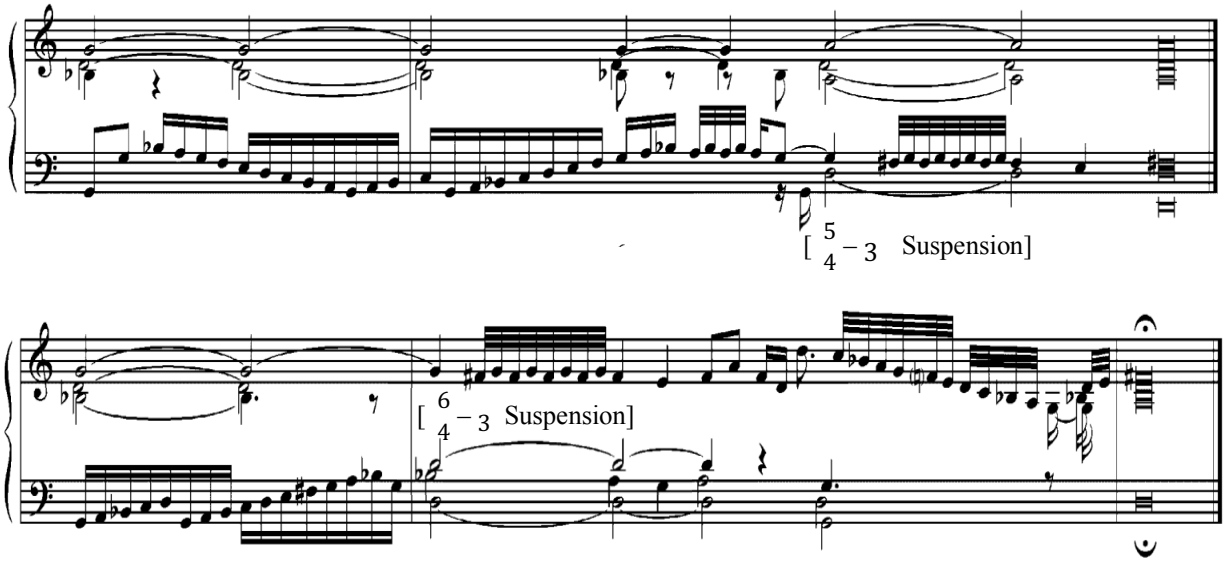
The toccata, fantasia, prelude, and *intonazione* were all improvisatory genres that shared certain stylistic features and served similar functions. They arose from introductory pieces that organists would play to set the pitch for the following sacred vocal pieces, and they were also used for musicians to explore the instrument, exercise the hands, check tuning, and set the stage effectively for whatever was to follow. This chapter introduces material found in Baroque treatises that discuss figured bass practice, how it relates to the toccata and fantasia, and how it contributed to Mozart's improvisatory language.

The Toccata

The toccata style shown in Mozart's works can be traced back to Andrea Gabrieli (Venice, 1593) and Claudio Merulo (Correggio, 1533) and successive generations of composers including Girolamo Frescobaldi, Johann Froberger and Johann Sebastian Bach. A virtuosic

toccata by Claudio Merulo demonstrating affective figuration such as *passaggi*[1] and the use of the 4–3 at cadences is shown in Example 19. In this example, linking suspensions are called *cadenze composte,* or compound cadences. The dissonant fourth is suspended on the strong beat of the dominant, marked as $\frac{5}{4}_{-\ 3}$.[2]

Example 19: Claudio Merulo, Fourth to Third Suspensions in the Final Cadences of Toccata Prima and Toccata Seconda from *Toccate d' Intavolatura d'Organo*



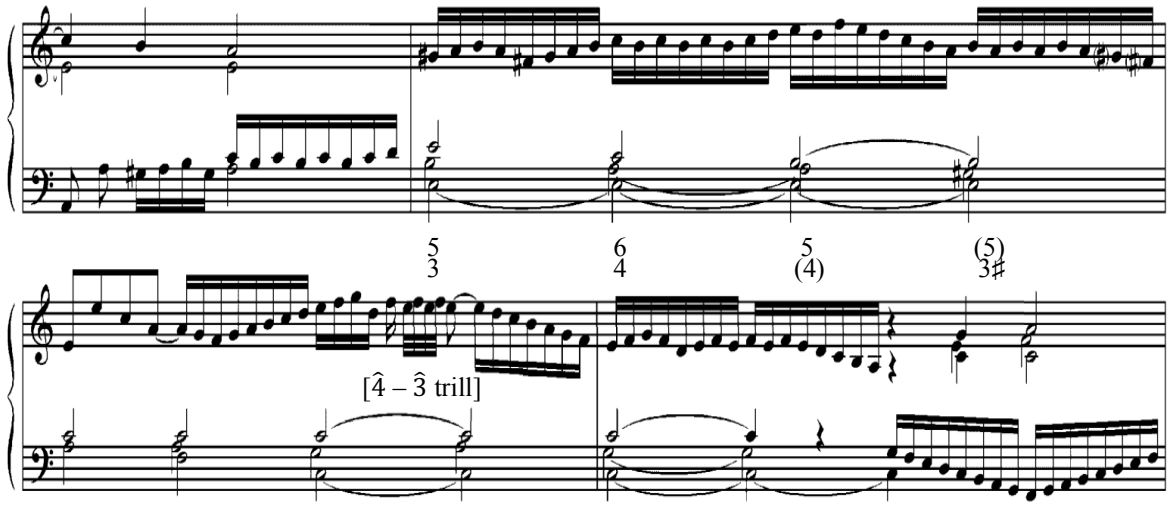
The *cadenza doppia*, or the double cadence, is another frequently encountered type of cadence and consists of a "suspended form" for expanding and strengthening the dissonance. The delayed resolution on the dominant is prolonged by a double dissonance, and the suspension enters on the strong beat, marked as $\frac{6}{4}_{-\ 3}$. When the *cadenza doppia* is integrated into the toccata passages, it tends to look like a practiced run, as in Merulo's Primo Tuono (see Example 20).

[1] The Italian *passaggio*, according to Michael Tilmouth and Stewart A. Carter, is "from the late 16th century to the 18th, an improvised vocal or instrumental division moving primarily by step. In early Baroque music, the term may also refer to ornamentation in general, including semi-formulaic ornaments such as the *trillo* and *gruppo* as well as diminutions." See: Michael Tilmouth and Stewart A. Carter, "Passaggio (ii)," *Grove Music Online*, accessed September 23, 2017, http://www.oxfordmusiconline.com.proxyiub.uits.iu.edu/subscriber/article/grove/music/53864.

[2] Further exercises demonstrating this formula can be found in Practice II.

Through study and practice of the techniques of Italianate diminution and the vigorous, rhythmically decisive approach, a player can expand his or her own improvisation skills.

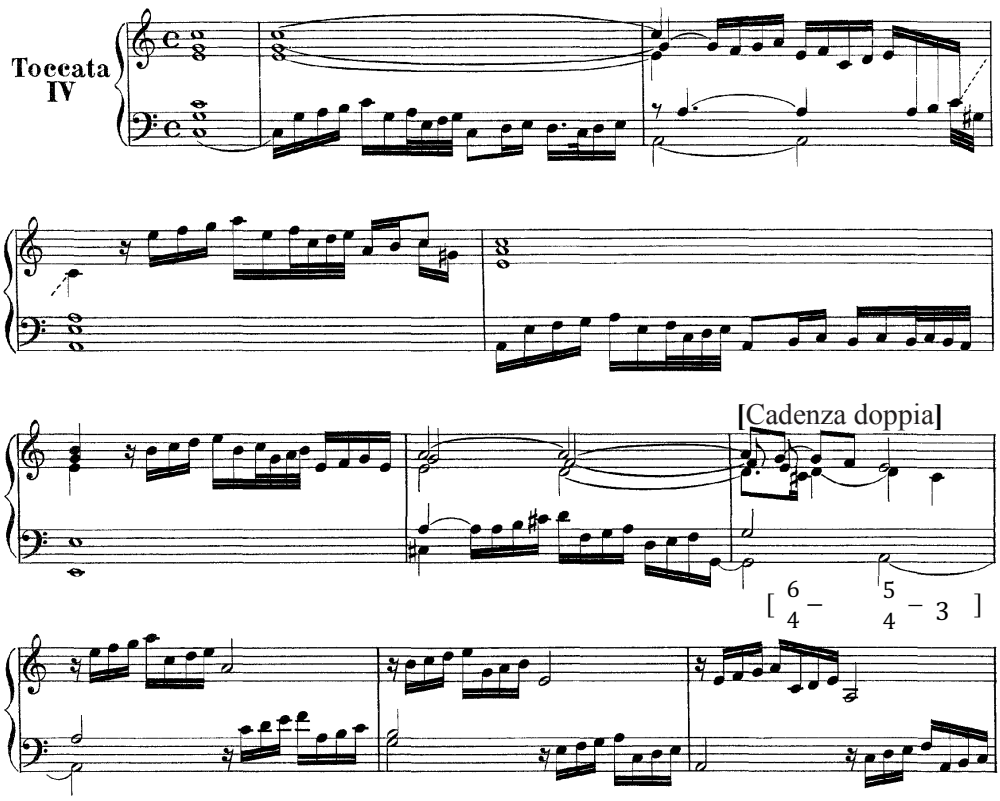
Example 20: *Cadenza Doppia* in Merulo's Primo Tuono, Toccata Seconda



Late sixteenth- and early seventh- century toccatas usually contain short, fanciful imitative passages to contrast with the rhapsodic free sections. This imitative material is presented in imaginative ways, often transforming subjects by inversion, fragmentation, and augmentation, by changing intervals to create surprise, or by rhythmically distorting a pattern. Example 21 shows one of the toccatas by Froberger,[3] which starts with an improvisatory-like imitation on a stepwise rising fourth motive followed by a falling fourth. After the cadence in bar 8, the stepwise rising fourth motive introduces a second fugal section.

[3] Johann Jacob Froberger, and Guido Adler, *Orgel Und Klavierwerke* (Graz: Akademische Druck- u. Verlagsanstalt, 1959) Dm.d.Tk.in Oest.X.2 Akademische Druck- u. Verlagsanstalt.

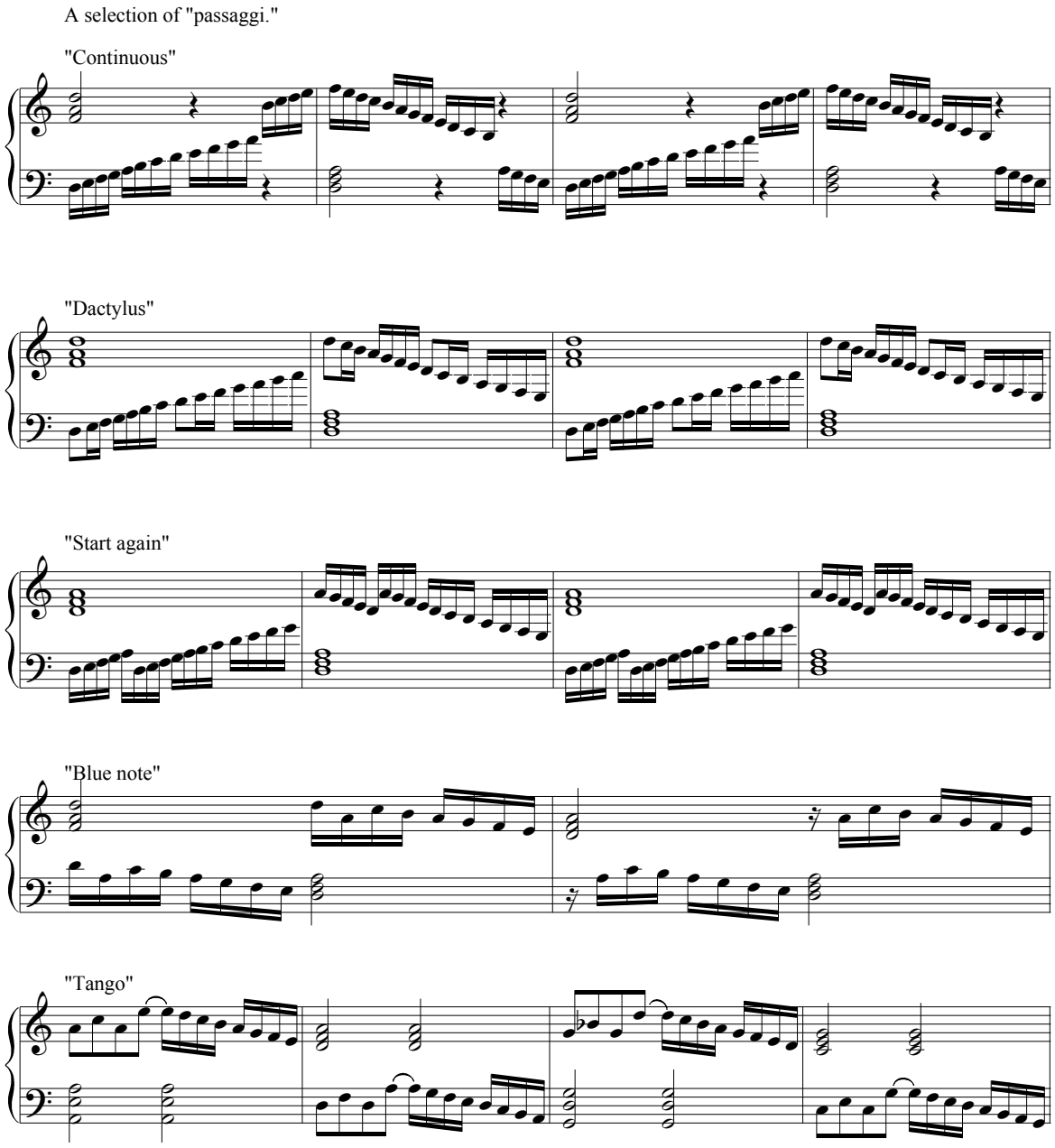
Example 21: Froberger, Toccata IV, Fb. WV 104 (1649), bars 1–11



The virtuosic figurations in the toccata correspond to the brilliant style in Mozart's works as discussed in Chapter One. With respect to visual analogs mentioned earlier, fermatas on the dominant chords and the following toccata-like fast and brilliant gesture correspond to a child watching fireworks, especially his anticipation of the moment when he would see all these things light up and play in the air. A worthy practice for performing such figurations is shown in Example 22 by Patrick Ayrton in his instruction for improvisation in 2010.[4] Ayrton's method, which he labels as "Venetian Toccata in the style of Andrea Gabrieli or Claudio Merulo" provides a fun, fulfilling exercise with considerable musical content.

[4] The English harpsichordist and organist, Patrick Ayrton teaches harpsichord, basso continuo and chamber music at the Royal Conservatory of The Hague as well as yearly music courses in Italy and Austria.

Example 22: Patrick Ayrton, Venetian Toccata in the Style of Andrea Gabrieli or Claudio Merulo

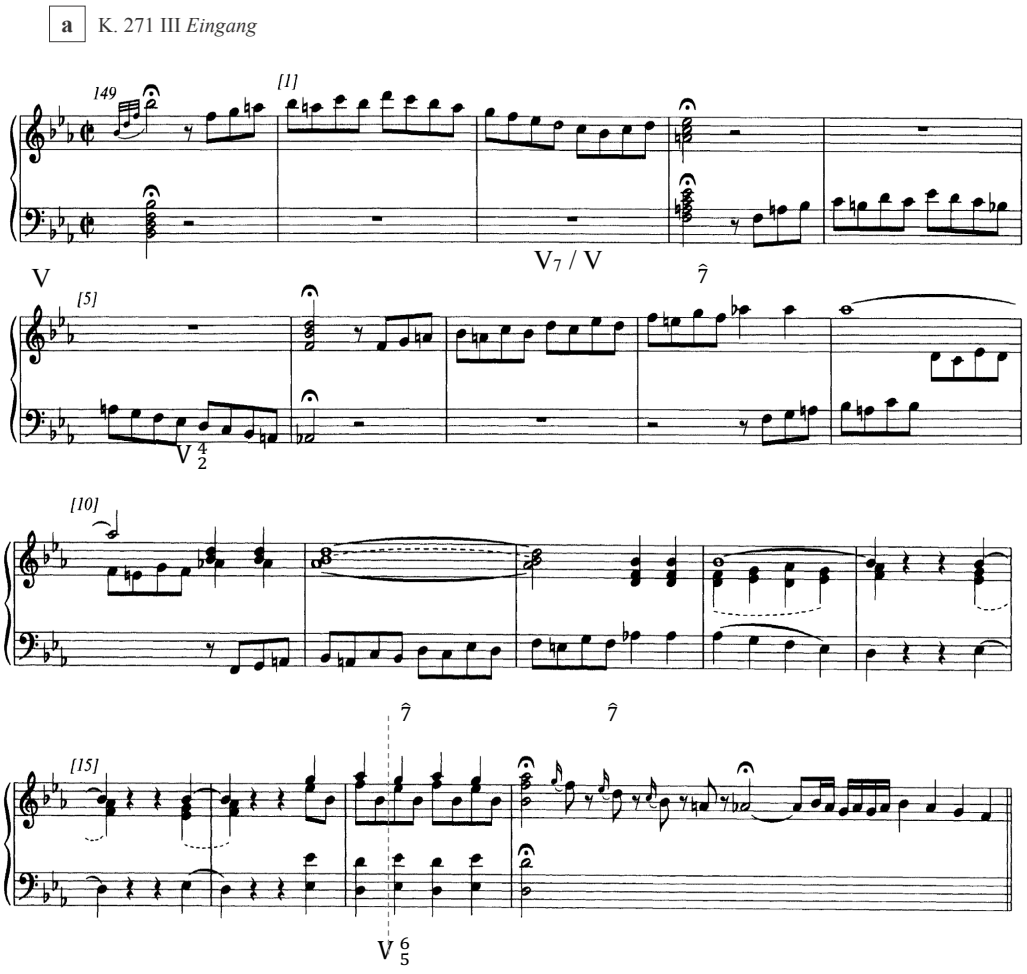


A toccata-like imitative passage appears in one of the *Eingänge* that Mozart provides in the third movement (Rondo) of the Piano Concerto in E-flat Major, K. 271, as shown in Example 23. This *Eingang* can be divided into two parts. In the first part, Mozart uses imitation on an

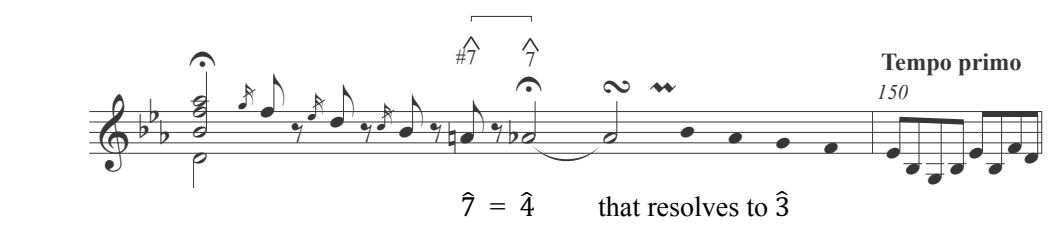
appoggiatura-decorated scale throughout and emphasizes the seventh of the dominant with gradually more intense energy. After arriving at its climax in bar 18 on the fermata, musical tension is released when a cantabile passage enters. The second part cantabile is articulated by short appoggiaturas and eighth-note rests.

The two half notes on A and A-flat before the refrain are prolonged by an *ad libitum* sign that suggests arbitrary lyrical ornaments like turns and trills, which decorate the dominant that leads back to the orchestra ritornello on the tonic. Example 23b shows a decorative lead-in that is equally balanced with an *Eingang* with a lengthy imitative passage.

Example 23 (a): Mozart, Piano Concerto in E-Flat Major, K. 271, Rondo, *Eingang*

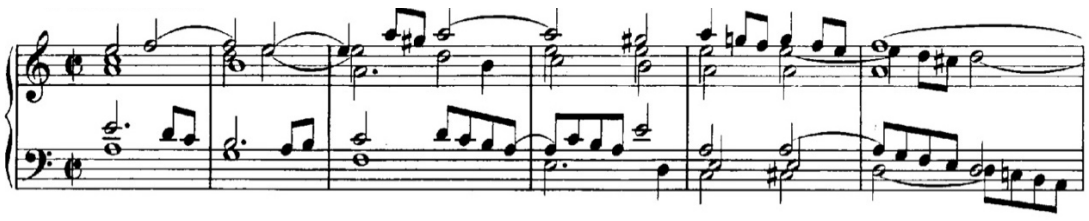


Example 23 (b): Mozart, Piano Concerto in E-Flat Major, K. 271, Rondo, Lead-in



Before the eighteenth century, the fantasia has a kinship to the improvisatory toccatas, when contrapuntal technique shows the fancy of a composer displaying his skill at treating an imitative motif, often with successive subjects. Sometimes, the central section contains fugal variations. Transformations include subjects being distorted rhythmically and inflecting melodies by inversion, fragmentation, and augmentation. There are many examples of contrapuntal fantasias composed in the Renaissance and early Baroque period throughout Europe.[5] A famous later example of this type of fantasia is Johann Sebastian Bach's Fantasia and Fugue in A minor, BWV 904, composed in 1725 (see Ex. 24). It opens with a dramatic and thick chordal phrase built upon a descending bassline and evolves contrapuntally, ending with a spectacular double fugue.

Example 24: Johann Sebastian Bach, Fantasia and Fugue in A minor, BWV 904, Opening



[5] Composers incorporated contrapuntal material into their toccatas and fantasias include English composers such as William Byrd (1538–1623), John Bull (1562/63–1628), and Orlando Gibbons (1583–1625). In the Netherlands, Jan Pieterszon Sweelinck (1562–1621). Italian composers such as Tarquinio Merula (1595–1665) and Girolamo Frescobaldi (1583–1643).

This type of fantasia, which relied on restrictive rules and compositional techniques, was disputed by theorists on the grounds that the contrapuntal style caused a loss of capricious spontaneity. According to Johann Mattheson, "those authors who work through formal fugues in their fantasias or toccatas have no proper concept of this noble style, to which nothing is so opposed as order and constraint."[6] During the eighteenth century, the style of fantasias was an outgrowth of seventeenth-century free preludes and toccatas and features a single movement with contrasts of tempo and figuration, and with free improvisatory passages such as spontaneous arpeggios according to the bass without bar lines.[7] Occasionally, motifs may develop using imitation, voice exchange, or in canon. However, like the *empfindsamer Stil* compositions of C. P. E. Bach, those were no longer juxtaposed with lengthy development on fugal or ostinato sections.

Free Fantasia Style

The virtuosic and improvisatory free fantasia represents the *stylus fantasticus* that flourished in the late-eighteenth century. In his *Musurgia Universalis* in 1650, the German Jesuit scholar and polymath Athanasius Kircher defines the style:

> The fantastic style is especially suitable to instruments. It is the most free and unrestrained method of composing, it is bound to nothing, neither to any words nor to a melodic subject, it was instituted to display genius and to teach the hidden design of harmony and the ingenious composition of harmonic phrases and fugues; it is divided into those [pieces] that are commonly called fantasias, ricercatas, toccatas, sonatas.[8]

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[6] Johann Mattheson and Ernest Charles Harriss, *Johann Mattheson's Der Vollkommene Capellmeister: A Revised Translation with Critical Commentary* (Ann Arbor: UMI Research Press, 1981), 217.

[7] This document equates contrapuntal texture in Mozart's improvisatory pieces to toccata style, and those shows spontaneous figurations, arpeggios, and stepwise basslines to free fantasia style. Both textures influenced gestures in Mozart's improvisatory style.

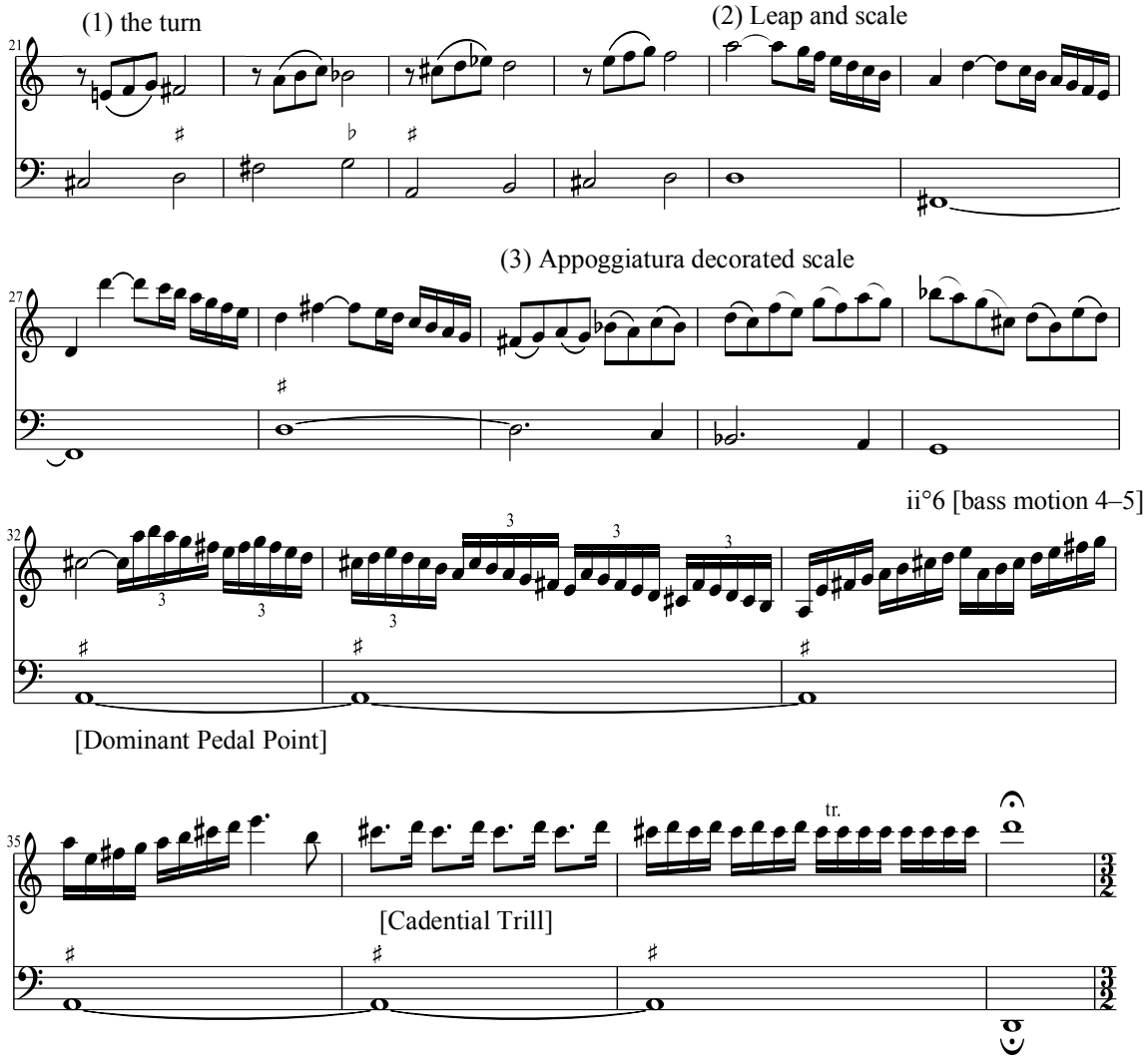
[8] Kircher, *Musurgia,* 585: "Phantasticus stylus aptus instrumentis, est liberrima, & solutissima componendi methodus, nullis, nee verbis, nee subiecto harmonico adstrictus ad ostentandum ingenium, & abditam harmoniae rationem, ingeniosumque harmonicarum clausularum, fugarumque contextum docendum institutus, dividiturque

Though not labeled as "*stylus fantasticus"*, the free spirit is clearly visible in music written for other instruments, such as the set of violin sonatas of the Italian composer Giovanni Antonio Pandolfi (1630–1670). Example 25 shows one of his earliest violin sonatas. In the Adagio movement of Sonata, op 4. Pandolfi consequently changes figurations within three or four measures; in bar 21, the melody is ornamented by (1) the turn that emphasizes 4 –3 suspensions, followed by (2) scales reached by leaps in bar 25; and four bars later in bar 29, the figurations are dominated by (3) short appoggiaturas. After reaching the dominant pedal in bar 32, from the bass motion 4 –5, the virtuosic fast sixteenth notes show a spontaneous and imaginary nature, and the passage arrives at the cadential trill in bar 36.

Pandolfi's violin sonata demonstrates that the free style contains no specific form and includes imaginary, virtuosic, and spontaneous passages involving extraordinary melodies, harmonies, and rhythms. These figures are also found in Mozart's improvisatory language, as he employs decorative scales, appoggiatura embellishments, flashy runs on pedal point, and cadential trills.

in eas, quas Phantasias, Ricercatas, Toccatas, Sonatas vulgo vocant." The English translation used here appears in Paul Collins, *The Stylus Phantasticus and Free Keyboard Music of the North German Baroque* (Aldershot, Hants, England: Ashgate, 2005), 29.

Example 25: Pandolfi, *Violin Sonata Op. 4*, "La Biancuccia," Adagio



Composers such as Girolamo Frescobaldi and his pupil Johann Jakob Froberger (1616–1667), Matthias Weckmann (1616-74), Georg Muffat (1653–1704), and Dietrich Buxtehude (1637–1707) (all of whom were highly influential on J. S. Bach) wrote toccatas in this manner, incorporating contrapuntal material for chiaroscuro contrast. Beyond the keyboard toccatas that he wrote, J. S. Bach's superb example of the combination of both types of fantasia is the Chromatic Fantasy and Fugue, BWV 903 composed in 1725, in which the first part is totally extravagant with free arpeggiated sections, juxtaposed with a tragic recitative, and the second movement is a masterful, contrapuntally controlled fugue. The stunningly virtuosic, witty and imaginative keyboard fantasias of his son, C. P. E. Bach are derivative of the *stylus fantasticus,* and all of the aforementioned compositional components proved to be influential on Mozart.

Türk says that a cadenza should be "more like a fantasia, which has been fashioned out of an abundance of feeling, rather than a methodically constructed composition."[9] The Greek word "phantasia" refers to the idea of imagination and caprice.[10] Moreover, as the mathematics professor and philosopher Georg Friedrich Sulzer (1720–1779) mentions, the musical imagination could be described as the comparison of sketches. In his *Allgemeine Theorie der schönen Künste*, he writes: "The fantasies of the great master, especially those played with a certain abundance of feeling and the fire of enthusiasm, are very often like the first sketches of the painters, full of extreme beauty and power, impossible to obtain in a more tranquil state of mind."[11]

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[9] Daniel Gottlieb Türk, *School of Clavier Playing*, trans. Raymond H. Haggh (Lincoln: University of Nebraska Press, 1982), 301.

[10] Christopher D.S. Field, E. Eugene Helm, and William Drabkin. "Fantasia." *Oxford Music Online.* 22 Mar. 2018. http://www.oxfordmusiconline.com/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000040048.

[11] Johann George Sulzer, *Allgemeine Theorie Der Schönen Künste*, 4 vols., "Die Fantasien von groszen Meistern, besonders die, welche au seiner gewissen Fülle der Empfindung und un fem Feuer der Begeisterung gespielt warden, sind oft, wie die ersten Entwürfe der Zeichner, Werke von ausnehmender Kraft und Schönheit, die bey einer

C. P. E. Bach defines the free fantasia as belonging to two categories, unmeasured and measured. He explains, a free fantasia "…consists of varied harmonic progressions which can be expressed in all manner of figuration and motives … no bar lines are employed … the ear demands a definite relationship in the succession and duration of the chord themselves."[12] When interpreting, he continues, one should "avoid playing in a single color … however, the performer is completely free, there being no attendant restrictions."[13]

In his *Versuch,* C. P. E. Bach writes an illuminating chapter on how to improvise a free fantasia. He says that this requires a basic knowledge of harmony and some rules that might present good taste; improvising a measured fantasia, however, requires a more comprehensive knowledge of composition. Great training and practice in performing while composing, which means improvising, were needed to give the impression that the musician has a "natural talent."[14]

To demonstrate the elements of figuration in a free fantasia, C. P. E. Bach provides the examples marked in alphabetical order shown in Example 25.[15] When embellishing a chord, he explains, it may be broken in many ways—rapidly or slowly, upward or downward—according to the expression desired. The appoggiatura is very useful when decorating the broken chord, as its passing half note color adds variety to the succession of figurations and makes it more attractive and elegant (see 26a and b).

Bach further illustrates a fast-tempo fantasia in his Example c. He explains that a short

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gelassenen Gemönnten verfertugt warden" (Hildesheim: G. Olms, 1967) vol., I, 368–9. Sulzer uses the term "great master" to refer to any performer who has achieved such a level of competency as described in his treatise.

[12] Carl Philipp Emanuel Bach, *Versuch über die wahre Art des Clavier zu spielen*. Part I was revised by C.P.E. Bach and published in Leipzig in 1787; the quotations are taken from William J. Mitchell's translation: *Essay on the True Art of Playing Keyboard Instruments,* 151–2.

[13] Ibid., 431.

[14] C. P. E. Bach, *Versuch*, 430.

[15] Ibid., 439–440.

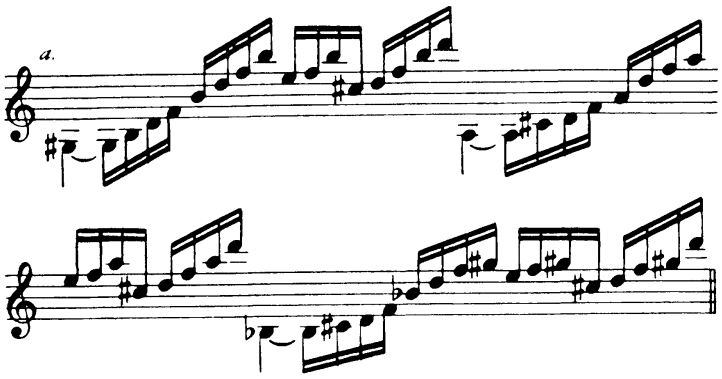
appoggiatura[16] can be added to break a triad or inversion when moving forward with an up- or downward motion when playing broken chords. Accidentals, shown in Examples d and e, indicate the forthcoming key. For instance, the accidental B-flat in example d gives a hint of the next chord, which is in F. When the passage contains many accidentals, a moderate tempo suits the phrasing better. By phrasing and grouping the thirty-second notes in a reasonable manner with logical infection according to the harmonic character, the dissonances may be brought out (see Ex. d and c). Dissonances like an expressive seventh chord are well-suited into a slow movement. Moreover, as Bach mentions, imitated sequences in parallel or contrary motion often appear in the fantasia (Ex. f–i).

These figurations are expressive elements that are derived from the bassline motion, or figured bass, which was originally indicated by figures without written-out notes. Sometimes a composer might indicate the outer voice, the soprano voice, suggesting its melodic direction as in the example demonstrated by Bach.

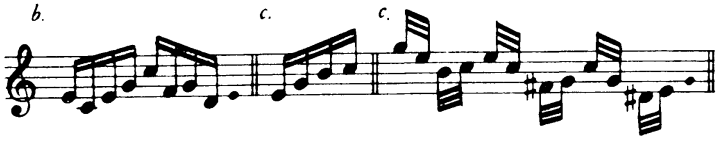
[16] C. P. E. Bach refers to the short appoggiatura as an acciaccatura, from the Italian word *schiacciare,* meaning "to crush." When using the acciaccatura to decorate a chord, he called it "breaking with acciaccatura." *Versuch über die wahre Art des Clavier zu spielen,* 349.

Example 26: Free Fantasia as Demonstrated by C. P. E. Bach

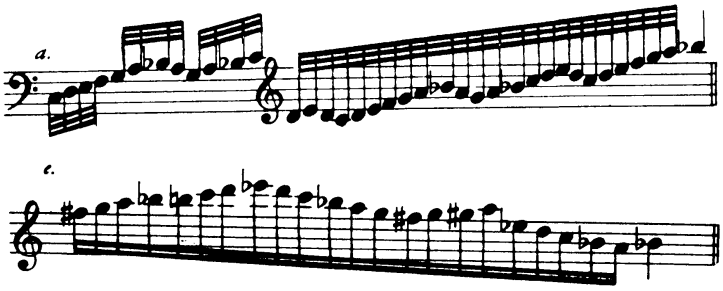
a. applying broken chords in many styles: rapid or slow, upward or downward, according to the expression. Using a long appoggiatura can add more color to a simple chord.



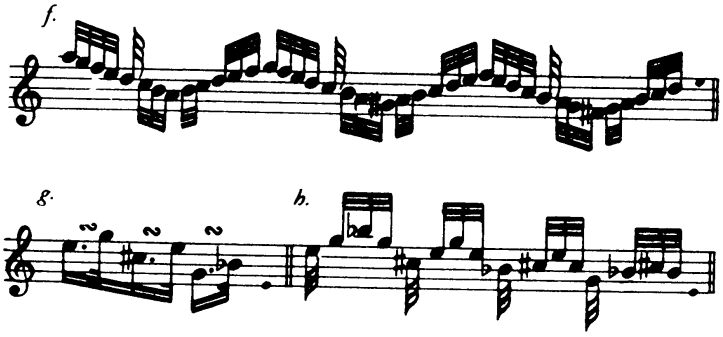
b. c. using a succession of added half-step fast appoggiaturas (acciaccaturas) on chords with upward or downward motion.



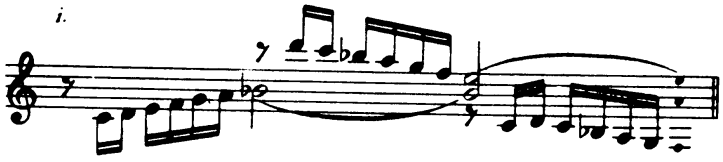
d. e. grouping fast thirty-second notes according to the harmonies indicated by accidentals. When playing with many half-note accidentals, choose a moderate tempo and group small notes according to the harmony.



f. g. h. The expression of the seventh chord can be emphasized by using imitative sequences in parallel or contrary motion.



i. chromatic alterations and seventh chords are the best fit for an expressive slow movement.



Three-Section Plan in C. P. E. Bach's Free Fantasia

To demonstrate how these patterns could be used in practice, Bach also provides a model of a free fantasia in D major and includes the bass structure for it.[17] Using the bassline structure as a guide, Examples 27, 28, and 30 show how the Fantasia in D Major can be divided into three sections: the opening flourish, the middle development, and the closing. The opening section presents a flourish-filled figuration that elaborates on the tonic and dominant; the second developmental section has short modulations that mingle with dissonances and the minor mode; then the bassline moves chromatically back to the dominant in the third closing section, and the passage finishes with a six-four cadence and a pedal point on the tonic.

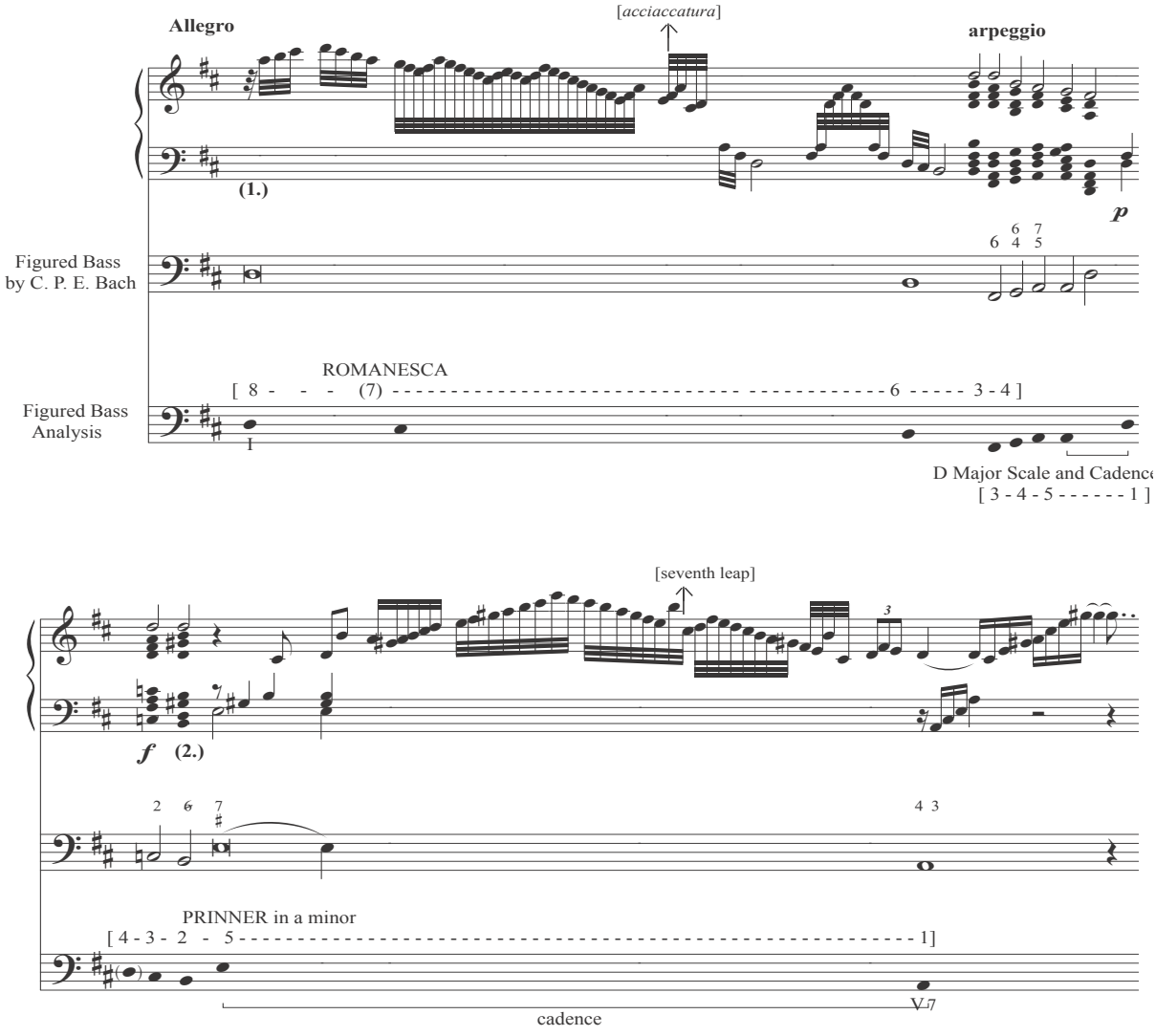
Starting with a zigzagging scale, which embellishes the tonic chord, this passage is then interrupted by a short dissonance called an acciaccatura. After the acciaccatura redirects the tonic to its root note, D, the bass motion ushers in an extemporized arpeggio chord, from D major to its dominant, A minor. The arpeggio could be spontaneously played in many ways: upward or downward, with blue notes[18] inside-out, and always according to the desired expression. It may be played more rapidly or strongly when it is diminished or augmented to emphasize the dissonant colors. After the arpeggio flourishes, Bach presents a lively scale with an intervallic leap of a seventh in E major, the dominant of a minor, before reaching the first half cadence on a 4–3 suspension. Rather than pausing on the 4–3 suspension on the dominant, Bach continues an arpeggio on the dominant and uses its seventh, G-sharp, the turn, smoothly links it to the second part.

The analysis in Example 27, under the figured bass C. P. E. provides for understanding

[17] Ibid., 443, Figures are from 479–480.
[18] The term "blue note" comes from Jazz practice and refers to a note played outside the diatonic key and used for expressive dissonance; most often this pitches are flat third or seventh scale degrees.

his free fantasia, is based Robert Gjerdingen's methodology in his *Music in the Galant Style*. Gjerdingen describes the bass motion on scale degrees 1 –7 –6 –3 –4, the "Romanesca,"[19] as a cliché schema in the Galant style and the four-note bass descending motion 4 –3 –2 –1, the "Prinner,"[20] as the "preferred riposte" that leads to the dominant.

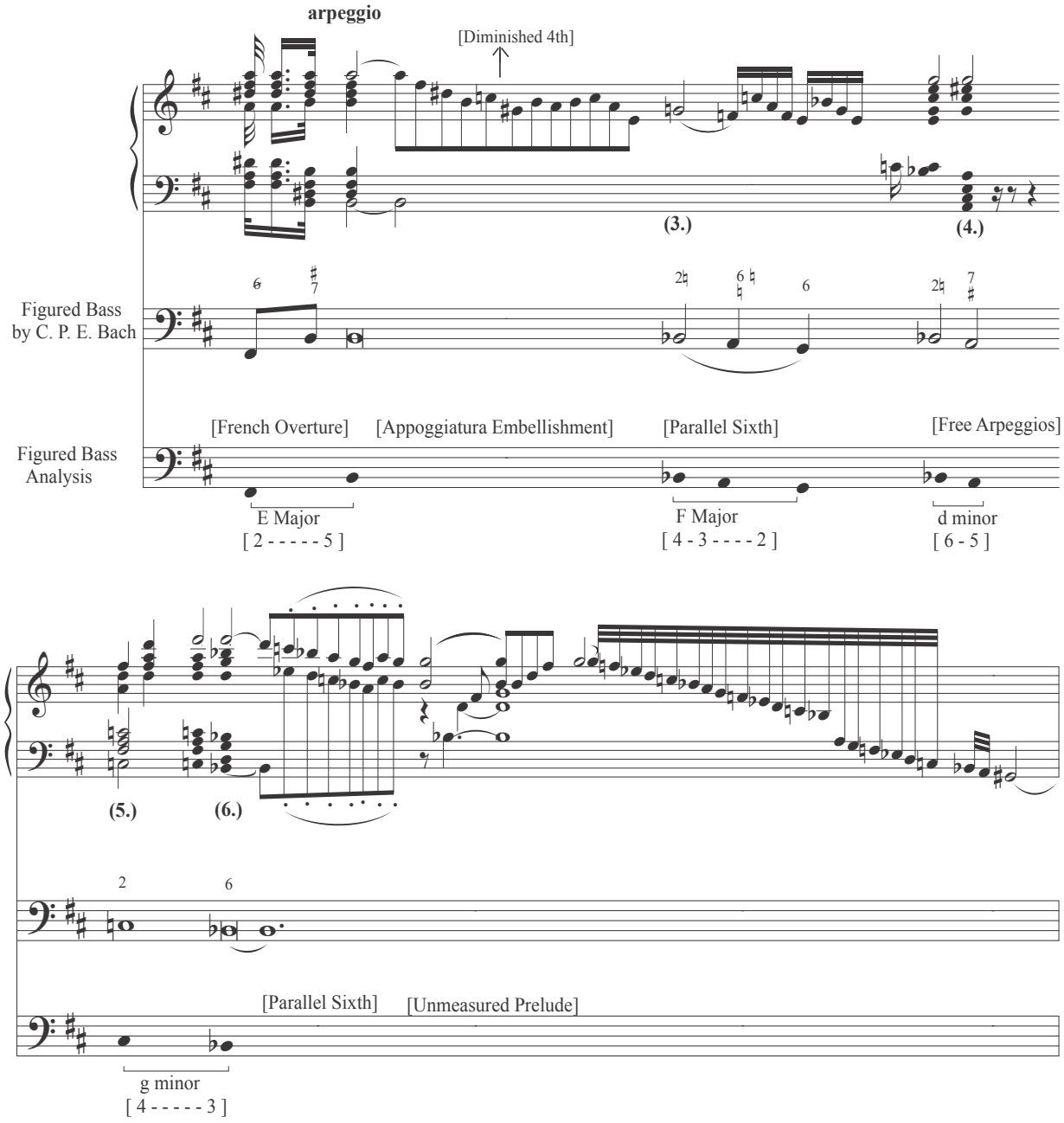
Example 27: C. P. E. Bach, Free Fantasia and Bassline Structure, Part I: Opening Flourish I – V


Allegro
[acciaccatura]
arpeggio
(1.)
p
Figured Bass
by C. P. E. Bach
6 6 7
6 4 5
ROMANESCA
[8 - - - (7) - - -

The middle part presents a development section with figurations in diverse styles that smoothly touch on the dominant sevenths of different keys (on E major, F major, D minor, and G minor; see Example 28). The applied dominants on E major present the French overture style, which is marked by dotted rhythms, and a lyrical appoggiatura-decorated melody that contains an expressive dissonance, the diminished fourth. The bass then descends through scale degrees 4 – 3 – 2 on the applied dominant of F major in a descending motion. The parallel sixths between the bass and the inner voice create a fuller harmony and steady motion. However, this F major passage is interrupted by arpeggios on the dominant of d minor and the passage immediately travels to scale degree 4 – 3 on g minor.

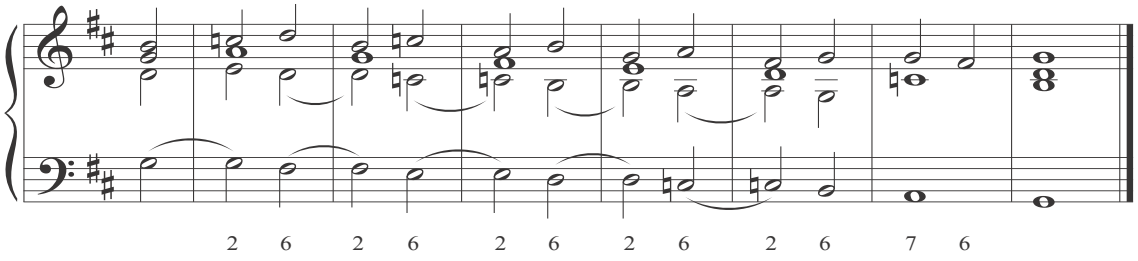
Bach displays three gestures in the G minor mode: a tender melody with descending parallel sixths, marked as a slur with dots; an earlier free unmeasured prelude style; and a fast-descending scale. This development section shows the profound understanding of style and technique that an improviser must possess in order to construct an improvisational fantasia.

Example 28: C. P. E. Bach, Free Fantasia and Bassline Structure, Part II: Middle Development



Note that the 2-chord over the bass resolves to a 6-chord is an indication for mode changes. For instance, the first 2-chord on B-flat indicated F Major, and the second 2-chord on C-natural signified G minor; both show a scale degree 4 – 3 pattern. Such a descending bass stepwise suspension can be found in continuo playing exercises by Handel (see Example 29).[21] The progression also introduces the circle of fifths by using a third-inversion seventh chord.

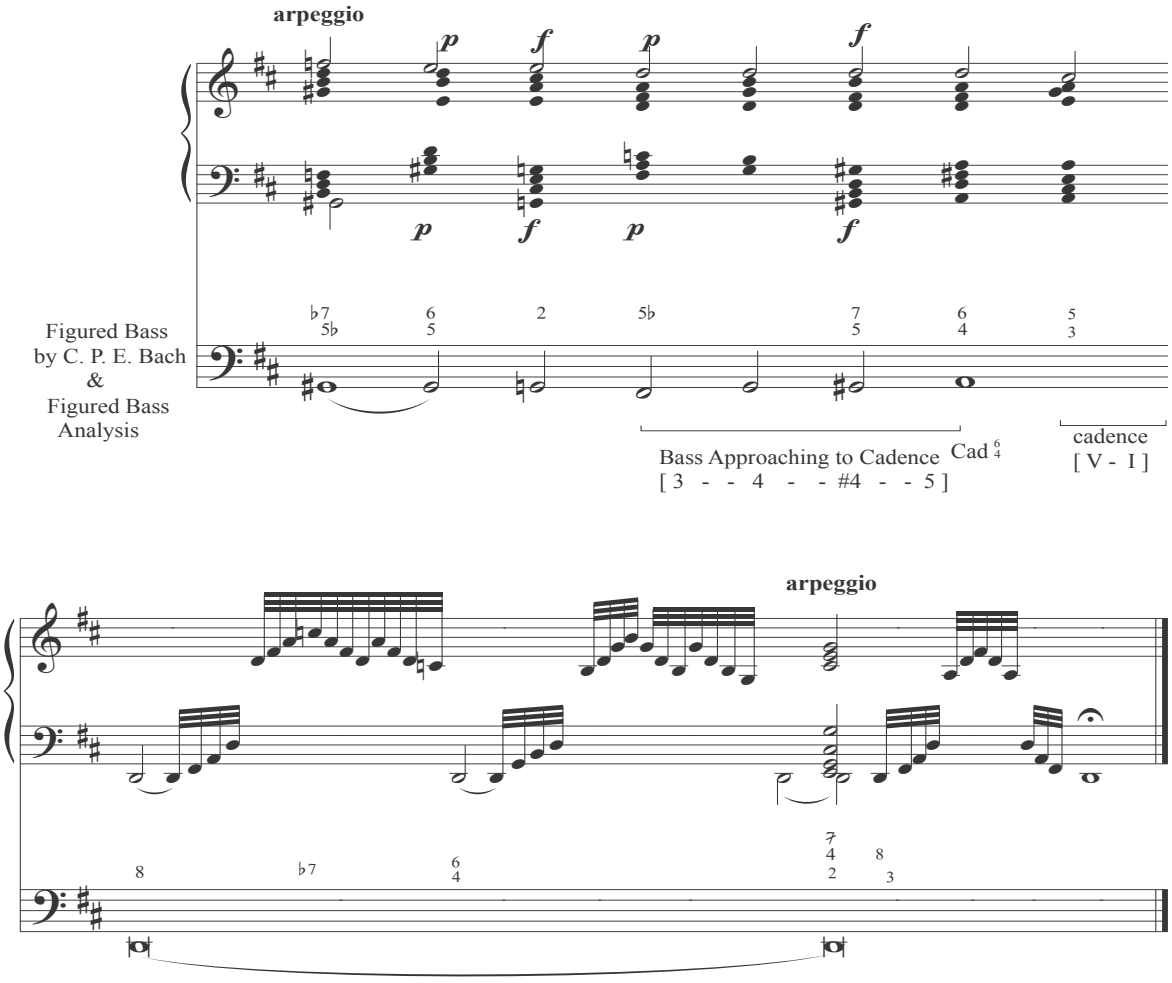
Example 29: Handel, Exercises in Figured Bass, 2-Chord



The pre-cadential bassline using scale degrees 3 –4 – ♯4 –5 and tonic pedal point are both shown in the third closing part of the fantasia (see Ex. 30). The descending scale in G minor, instead of landing on the note G, ends on a diminished chord over G-sharp. The third part starts with groupings of arpeggios, marked *forte* on dissonances, and Bach marks the dynamics *piano* on consonances. The bassline ascends chromatically, going through scale degrees 3 –4 – ♯4 –5 reaching the cadential six-four. On the tonic pedal point, only the dissonance $\begin{smallmatrix}\sharp 7\\4\\2\end{smallmatrix}$ was notated in the chord. Bach specifically wrote out arpeggios in descending motions, implying a decrescendo.

[21] George Frideric Handel and David Ledbetter, *Continuo Playing According to Handel: His Figured Bass Exercises* (Oxford: Oxford University Press, 1990), 21. Scale mutation induced by a minor second will be discuss in Ex. 63 in Practice II.

Example 30: C. P. E. Bach Free Fantasia and Bassline Structure, Part III: Closing Cadence

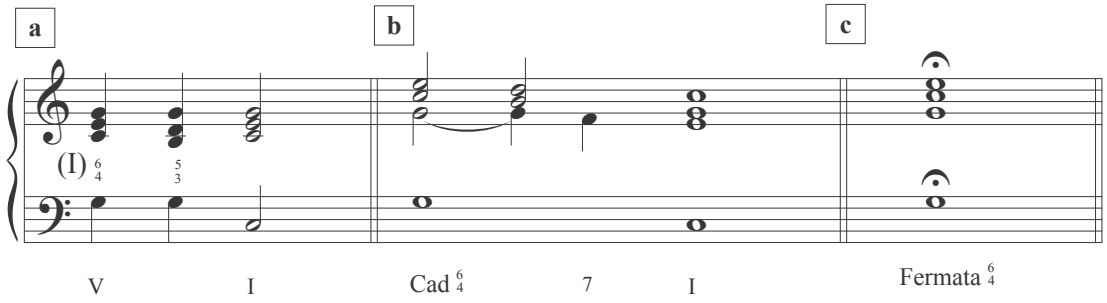


The three-section plan that Bach illustrates includes, as discussed, the opening section's flourish, a developmental section, and a closing section, and this presents the basic schema for constructing cadenzas. According to eighteenth-century composer and philosopher Jean-Jacques Rousseau, "As soon as you write it down or repeat it, it ceases to be a fantasy."[22] Although the keyboard fantasia sometimes exhibits a disciplined feature and compelling form and harmonic progressions, the fantasia is still consistently associated with the concepts of freedom, genius, and improvisation.

[22] Jean-Jacques Rousseau, "*Fantaisie*," in *Encyclopédie, ou Dictionnaire Raisonné des Sciences, des Arts et des Metiers*, edited by Denis Diderot and Jean le Rond d'Alembert, 6:491, (Paris: 1756).

The six-four chord in the closing section of C. P. E. Bach's instructional Free Fantasia in D Major mentioned earlier, appears on a stronger beat and its upper voices resolve downwards by step above a stationary bass, which makes them behave like appoggiaturas (see Ex. 30 mentioned above). The six-four is useful as a harmonic appoggiatura throughout Baroque and Classical periods. Instead of an inversion on a tonic triad, the appoggiatura six-four (see Ex. 31a) functions as a dissonance resolving to a consonance, the dominant harmony. It also functions as the cadential six-four, which resolve to a five-three chord on tonic (see Ex. 31b). Another six-four chord that refers to the initial point in Mozart's cadenzas in this document is marked as the fermata six-four chord (see Ex. 31c).[23]

Example 31: Six-Four Chord: Appoggiatura Six-Four, Cadential Six-Four, and Fermata Six-Four



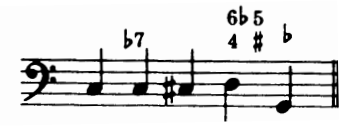
Another harmonic structure that needs to be addressed is the bass motion that brings in the cadential six-four. For instance, when approaching the cadential six-four in Bach's Free Fantasia in D Major, the bassline motion outlines scale degrees 3 –4 – ♯4 –5 before it arrives on the cadential six-four (see Ex. 32). It is also the norm in Mozart's written-out cadenzas (see Ex. 32b). In Mozart's cadenzas, such as in the first movement of his Piano Concerto in D Major, K. 175, after starting on the tonic six-four and sometimes modulating in the middle developmental

[23] These six-four chord exercises will be discussed in Practice II.

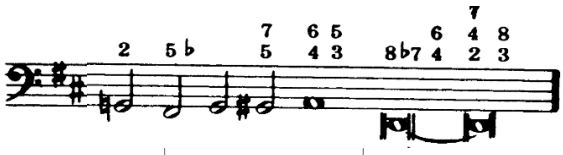
section, the bassline then ascends to the cadential six-four for the last cadence.[24]

Example 32: Comparison of Bassline Motion 3 –4 – ♯4 –5 in C. P. E. Bach's Fantasia and Mozart's cadenzas

(a) C. P. E. Bach, *Versuch*

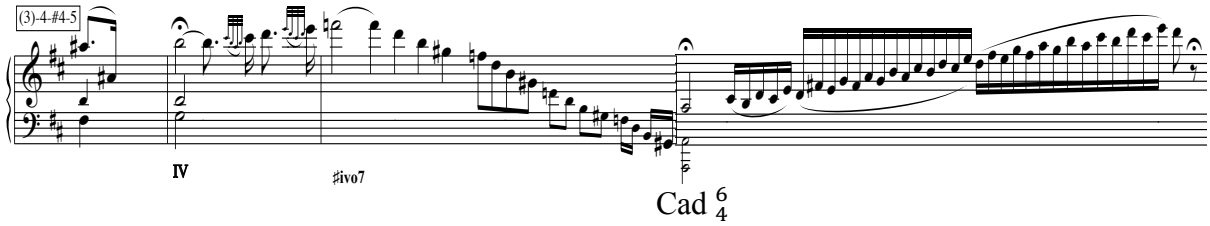


4 – ♯4 – 5

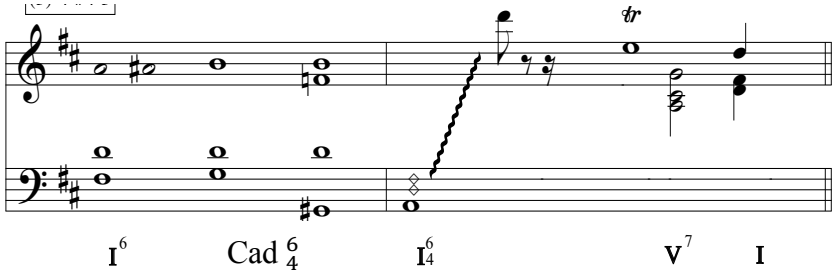


3 –4 – ♯4 –5

(b)Mozart, Piano Concerto in D Major, K. 175, I



(c) K. 175, I, Bassline Paradigm:



[24] Pre-cadential basslines and closing cadences will be discussed in Practice V, Chapter Seven.

These musical examples mentioned earlier including Bach's fantasias and Handel's continuo practices, show a three-section harmonic composition: departing from home (tonic to dominant), followed by traveling (modulations) and adventures (sequences) that create drama. All tension is then released when returning home (back to tonic). These improvisatory genres and their practice, which are composed from the bassline, influenced Mozart, and this inherited tradition can be seen especially in his fantasia and prelude.

Improvisatory Genres in Mozart's Piano Works: Fantasia and Stepwise Bassline

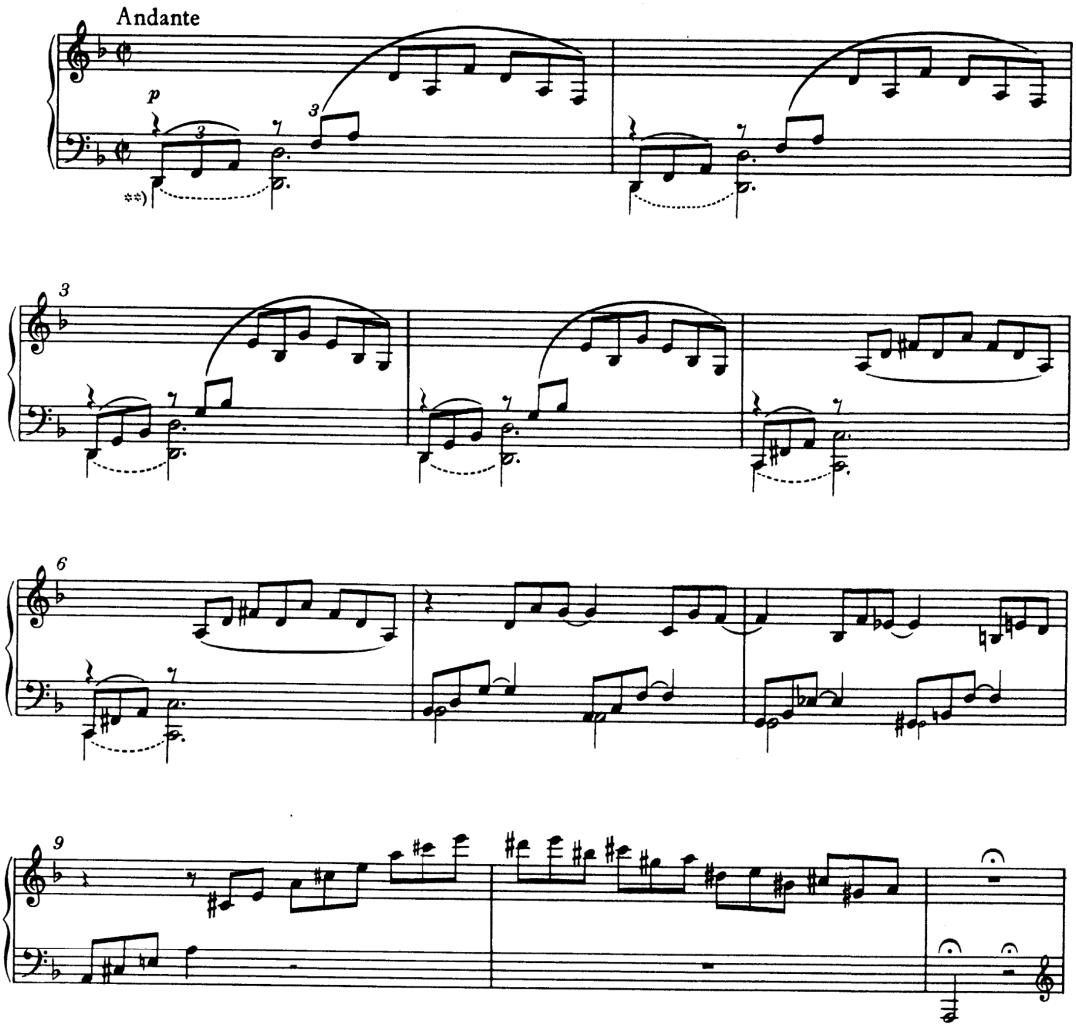
The musicologist Neal Zaslaw links the *stylus fantasticus* to Mozart's Fantasia in C Minor, K. 396.[25] In fact, the basslines in Mozart's fantasias all show a stepwise motion like those demonstrated by C. P. E. Bach. For instance, in both of Mozart's unfinished fantasias (K. 396 in C minor and K. 397 in D minor from 1782) as well as his Fantasia in C major, K. 475, 1785, he combined the free fantasia style with his own language by unifying the rhapsodic and improvisatory nature of the fantasia with Classical language features like tonal hierarchies, homophonic texture, regular phrases, and the Alberti bass as an accompaniment.

In his Fantasia in D minor, K. 397, composed in Vienna in 1782, Mozart retains the arbitrary flow, spontaneous arpeggios, and distinct sections separated by the fermata sign as in those of C. P. E Bach. There are clear thematic sections in K. 397: broken arpeggios in andante, melodic line in adagio, and fast figurations in presto. The opening Andante (see Ex. 33), as in earlier genres, prepares the listeners for the following melodic and melancholy Adagio section. The Andante consists of arpeggios that follow the bass motion from i – V. Example 33b shows

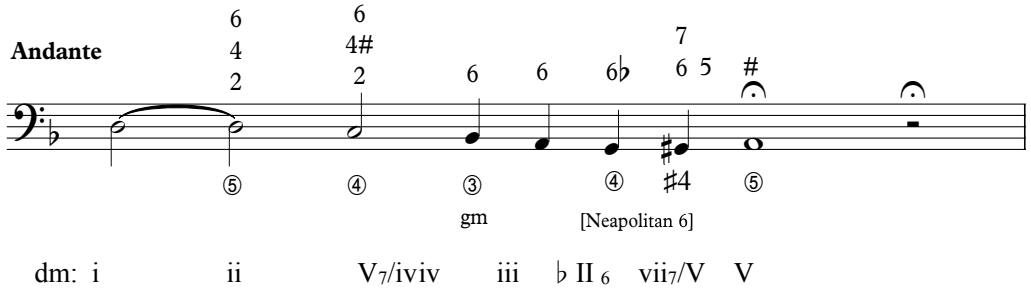
[25] Zaslaw, Neal, and William Cowdery. *The Compleat Mozart: A Guide to the Musical Works of Wolfgang Amadeus Mozart.* (New York: Norton, 1990), 295.

the bass motion with the scale mutation produced by a second on D, which leads the key to G minor; however, the flat-sixth (the Neapolitan) brings the bass towards the dominant.

Example 33a: Mozart, Fantasia in D minor, K. 397, Andante, Opening Section, bars 1-11

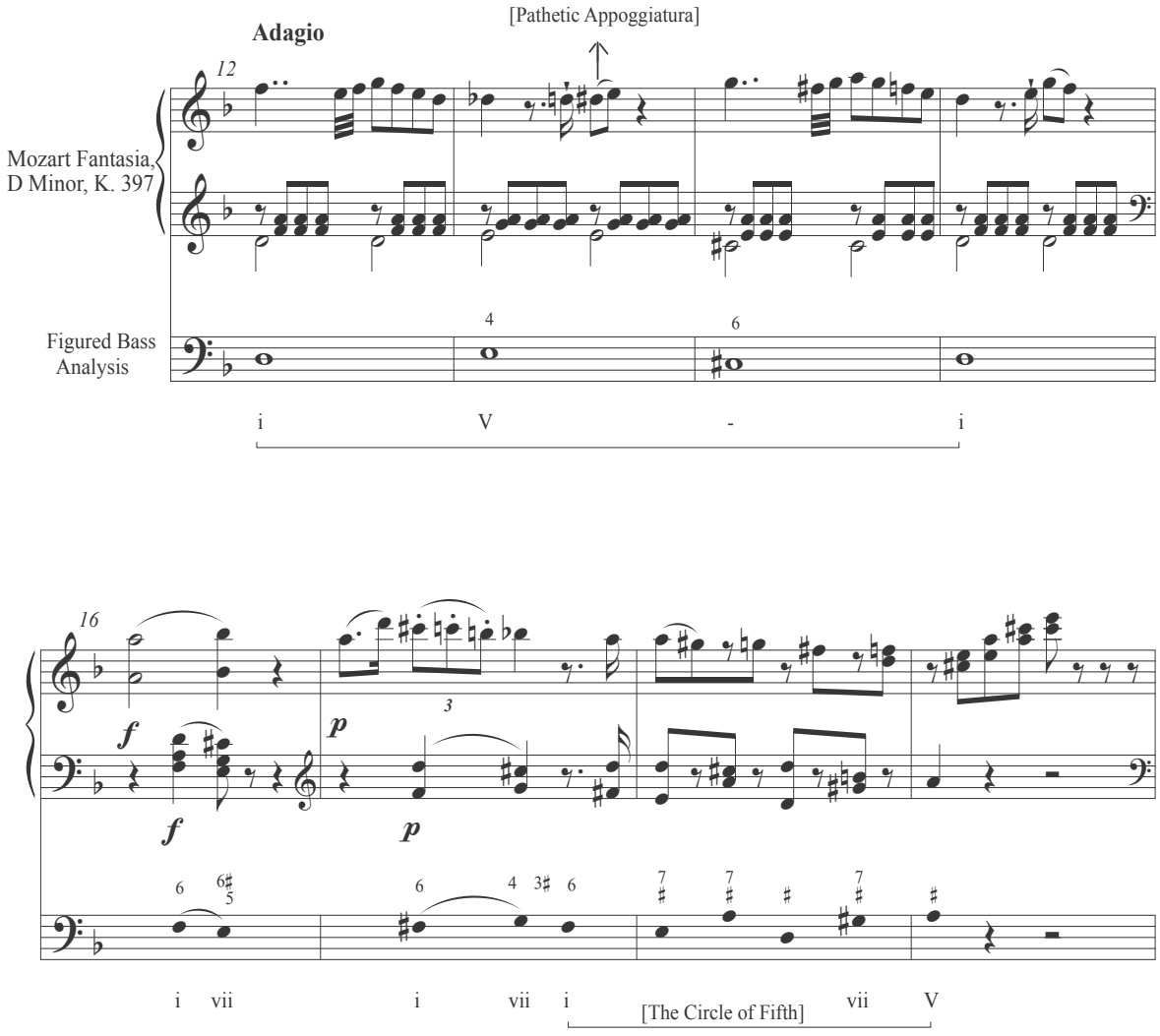


Example 33b: Mozart, Fantasia in D Minor, K. 397, Opening Section Bass Motion, I–V



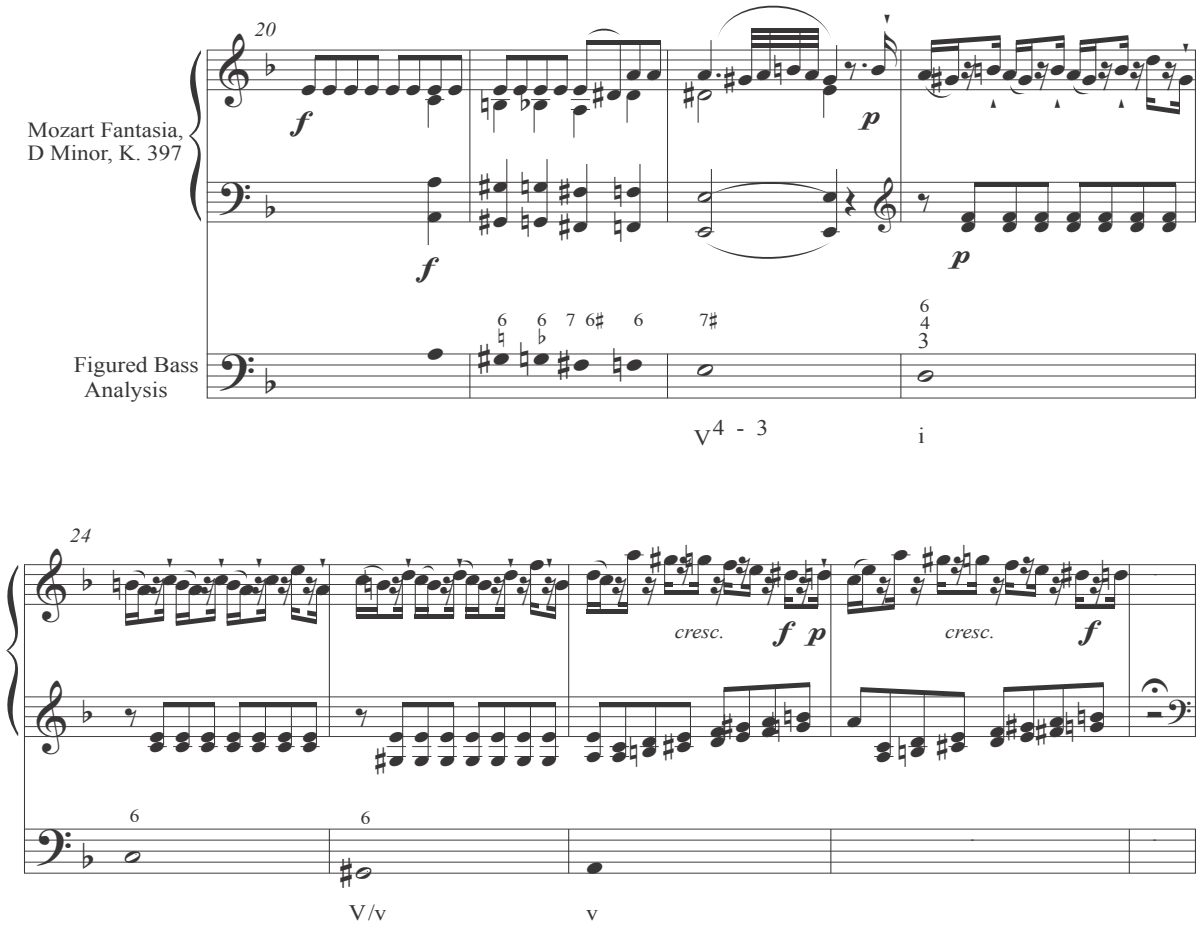
The Adagio after the fermata in bar 11 shows two characters, a lyrical melody and a more agitated motion (in Ex. 34 and 35). The Adagio enters first with elegant steps and a solitary song-like melody with simple accompaniment (see Ex. 34) on the tonic and dominant. The stroke followed by a semitone with a slur in bar 13 produces an expressive pathetic appoggiatura. From bar 16, the bass moves toward the dominant in bar 19. Instead of using the term "first theme" as in the traditional sonata analysis, here, from a fantasia's perspective, I have labeled this opening as a "solitary melody in Adagio."

Example 34: Mozart, Fantasia in D Minor, K. 397, Solitary Melody in Adagio, bars 12–19



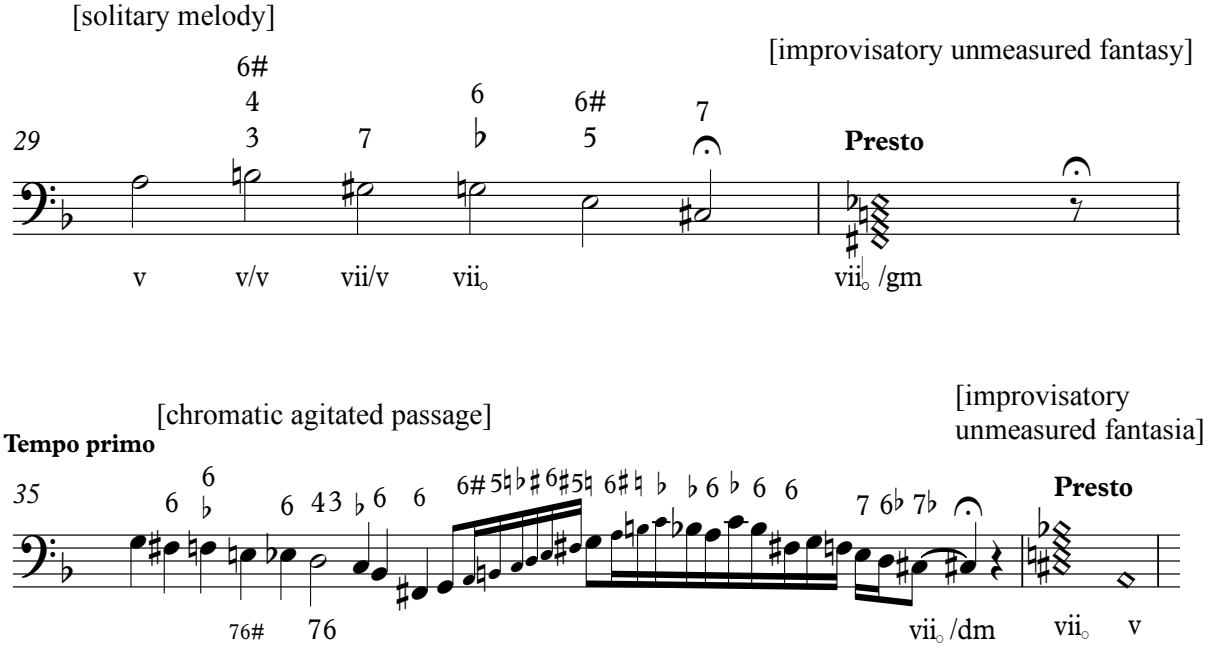
Another section enters in bar 20 with a more agitated character, which I have labeled here as "agitated section in Adagio." This section features repeated notes in a *forte* dynamic and off-beat strokes in *piano* followed by short two-note slurs. To execute the appropriate articulations, I find it effective to imagine how a string player creates this sound by adjusting bow pressure to create a light tapering of the second note in two-note slurs and light-weight, seemingly floating strokes on hooked upbows. The tension created by these figurations is supported by the bass proceeding in chromatic motion, as it moves from the dominant to an applied dominant (see Example 35).

Example 35: Mozart, Fantasia in D Minor, K. 397, Agitated Section in Adagio, bars 20–27



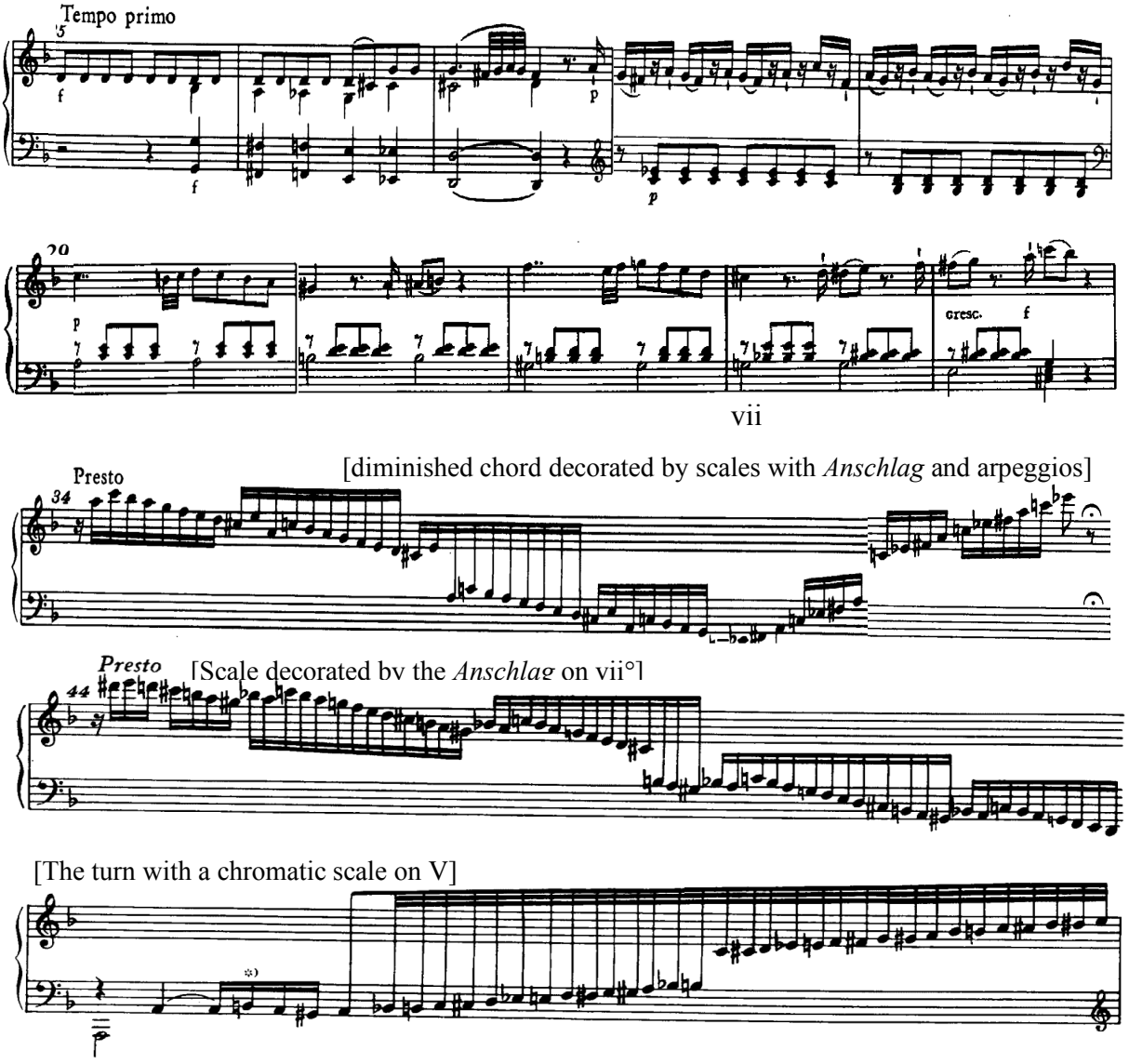
The bass in chromatic stepwise motion outlines the middle development part of the fantasia. Example 36a shows the figured bass analysis. The first "solitary melody" enters for the second time in bar 29 on the dominant, and this time, the harmony moves to a diminished seventh on the leading tone. Moreover, instead of being followed by the chromatic agitated passage, it is interrupted by an unmeasured, improvisatory, Presto passage. The intrusion is rapid, and before one can realize what has happened, the second agitated section returns with one more bar added, moving to the diminished seventh over the leading tone in D minor. The fermata on the diminished seventh, in bar 30, opens up another opportunity for an unmeasured Presto improvisatory passage and this time, the figurations move from the diminished seventh to the dominant to prepare for the first solitary melody's return on the tonic.

Example 36a: Mozart, Fantasia in D Major, K. 397, Bass Analysis, bars 29–44



Figurations in the improvisatory Presto sections are mainly scales and arpeggios and are decorated in different ways, as shown in Example 36b. Scales can be varied with ornamentation using the turn and the mordent (*Anschlag*)[26] to create different effects.[27]

Example 36b: Mozart, Fantasia in D Major, K. 397, bars 29–44



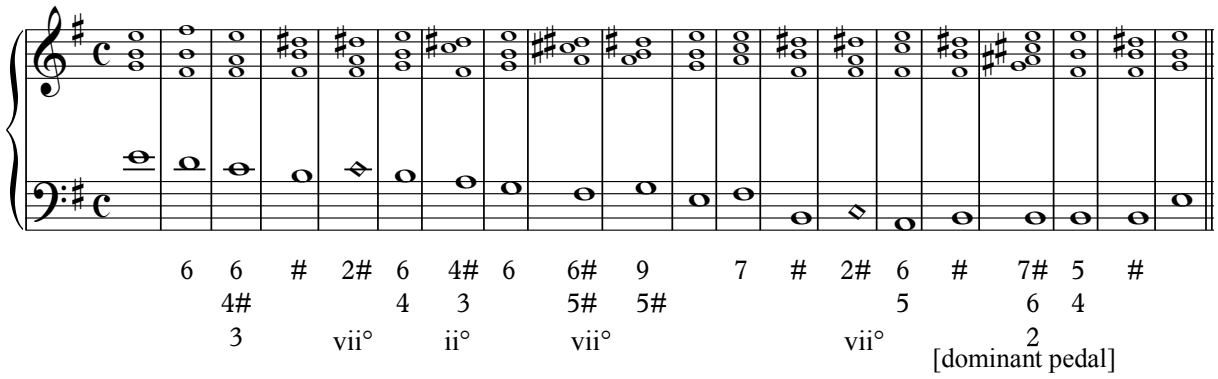
[26] In his treatise on violin playing, Leopold Mozart describes the kind of ornamentation created from both lower and upper notes and slurred to the main note "*Anschläge*." *Anschläge* share the sharp, biting character of mordents. For further discussion, see Chapter 6, page 176–77.

[27] These compound-improvisatory ornamentations will be discussed in Chapter 6.

Unmeasured Prelude of Mozart

The augmented harmony (as well as diminished harmony) Mozart utilizes in his fantasias and harmonic instability, communicated by using such techniques as sequential progressions and the circle of fifths, often unsettles the audience with its disturbing and unexpected effect. In his *Principes De L'accompagnement Du Clavecin*, Jean-François Dandrieu (1682–1738) explains that the effect of "the augmented second that is accompanied by the triton and the sixth is extraordinary and when it is used it is almost always on the subordinate of the minor. It is thus marked ♯2."[28] His exercise, with the diminished chord marked by the number 2, is shown in Example 37 with diamond-shaped whole notes in the bass.

Example 37: Dandrieu, Exercise of the Augmented Second Chord

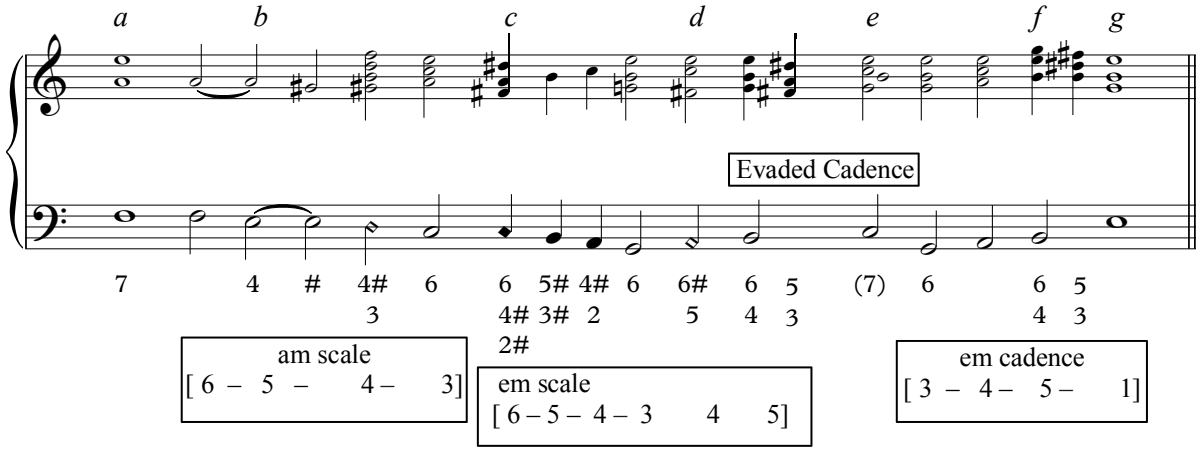


Like his fantasias, Mozart's preludes were influenced by the continuo tradition and voice leading practices, such example can be found in the scarcely known non-metrical Modulation Prelude, KV deest. According to the bass motion, F–E (bass analysis shown in Ex. 38), Mozart

[28] Jean François Dandrieu, *Principes De L'accompagnement Du Clavecin* (Réimpr. de l'éd. de Paris, ca. 1719, Genève: Minkoff Reprint, 1972), XX. "La Seconde Superflue s'acompagne du Triton et de la Sixte. Cet accord est extraordinaire, et lorsque l'on s'en sert c'est Presque toujours sur la Sudominante du Jon Mineur. On le marque ainsi ♯2."

decorates the harmony by using broken chords and scales with upward and downward motions, including chromatic scales and leaps that decorate the scales.

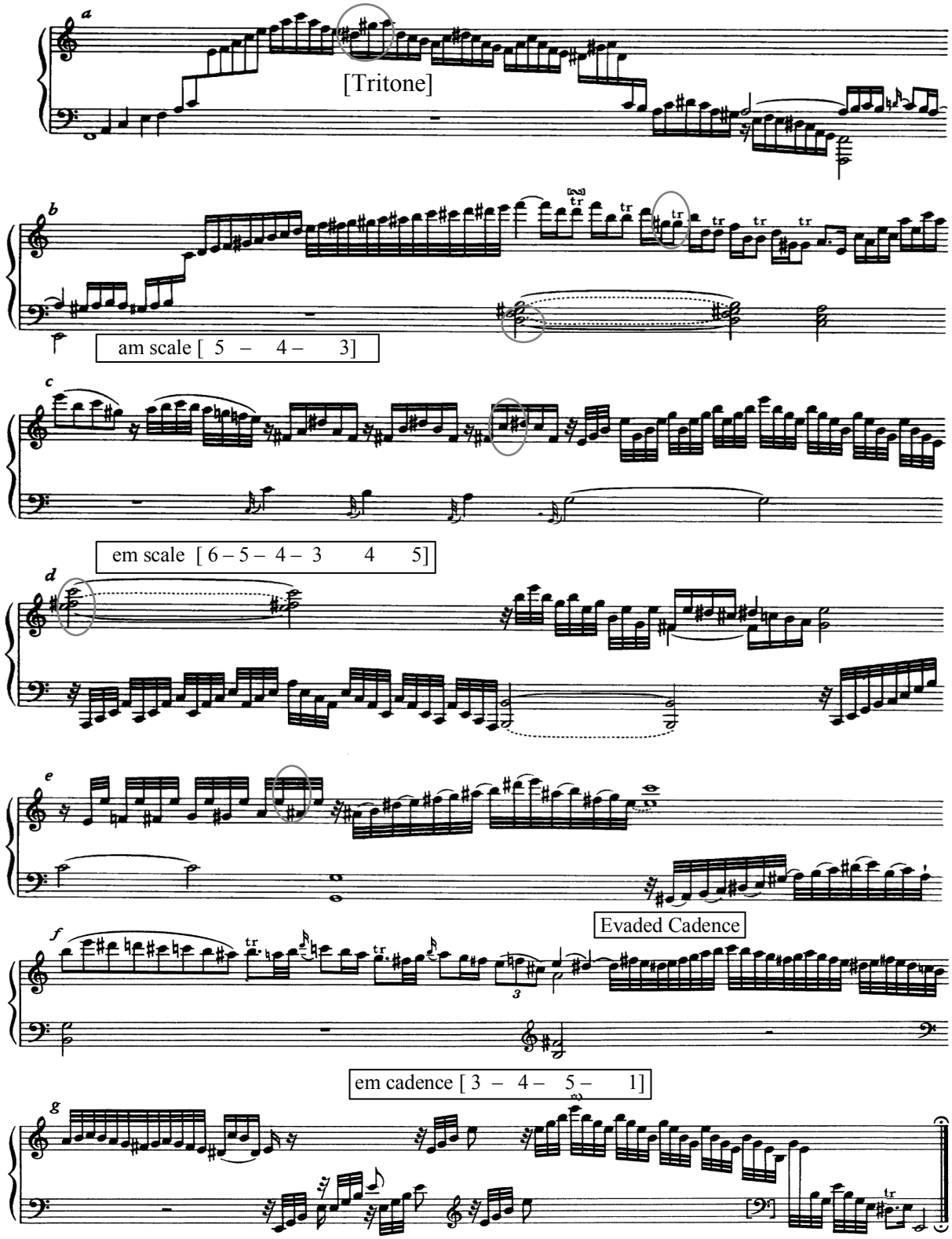
Example 38: Mozart, Modulation Prelude (F–e), KV deest, Bass Analysis



Note that not only does the diminished harmony (shown in diamond-shaped bass notes in Ex. 37 and 38 above as well as marked tritone in the following Ex. 39) create tension and change the listener's expectation by modulating among different keys, but also the speed of these chord changes also controls the audience's pulse. The speed of figurations changes according to the effect or affect as in a free fantasy. Mozart's musical language plays around with audience expectations by implication; after the implication appears three times, figuration changes.[29] He also employs improvisatory ornamentation, such as appoggiaturas, turns with scales, and short or long trills to vary his figuration (see Example 39).

[29] Three-fold repetitions are extremely common in Baroque and Classical Music. It is possible that this practice is related to long-held conventions of tripartite works meant to represent the Holy Trinity in Christianity, but the "rule of three" is also common in rhetoric instruction. For more information see: Hiscock, Andrew, and Helen Wilcox, *The Oxford Handbook of Early Modern English Literature and Religion*, first edition, (Oxford, United Kingdom: Oxford University Press, 2017), 65.

Example 39: Mozart, Modulation Prelude (F–e), KV deest



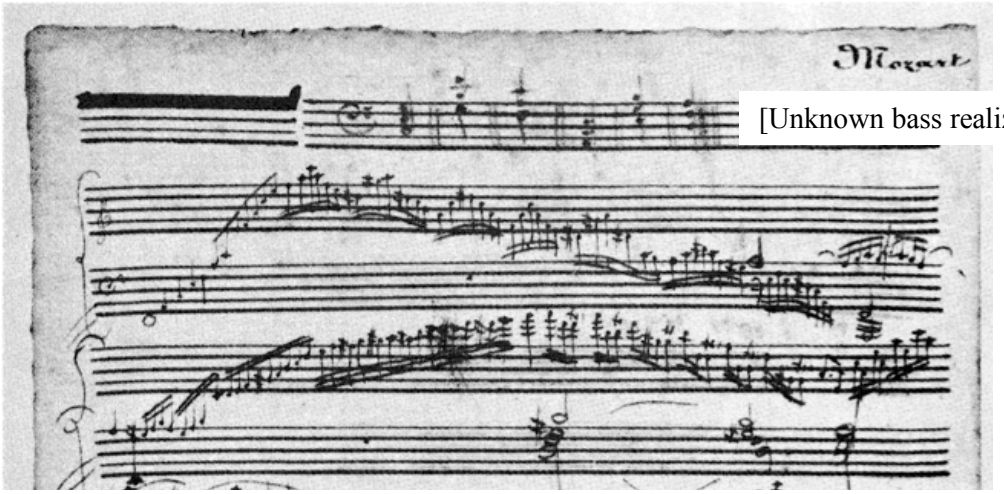
Mozart wrote his modulation preludes for his sister, Maria Anna (Nannerl). In her letter from September 1777, Nannerl expressly requests such modulating preludes, writing, "please be so good as to send me soon a short 'preambulum.' But write one this time from C to B-flat, so that I may gradually learn it by ear."[30] On several occasions from 1776 to 1778, Mozart composed modulation preludes and other pseudo-improvisations for her. One such instance is documented in the following letter, in Paris, July 1778, where Mozart writes:

> I am sorry for being so late in sending my congratulations. But I wanted to present my sister with a little preambulum. It is up to her how she wants to play it. This is just a sort of Capriccio written in order to test a clavier, not the kind of prelude which passes from one key into another, -... - she should not worry about the tempo - this has its little problems! One just plays it according to one's own judgment.[31]

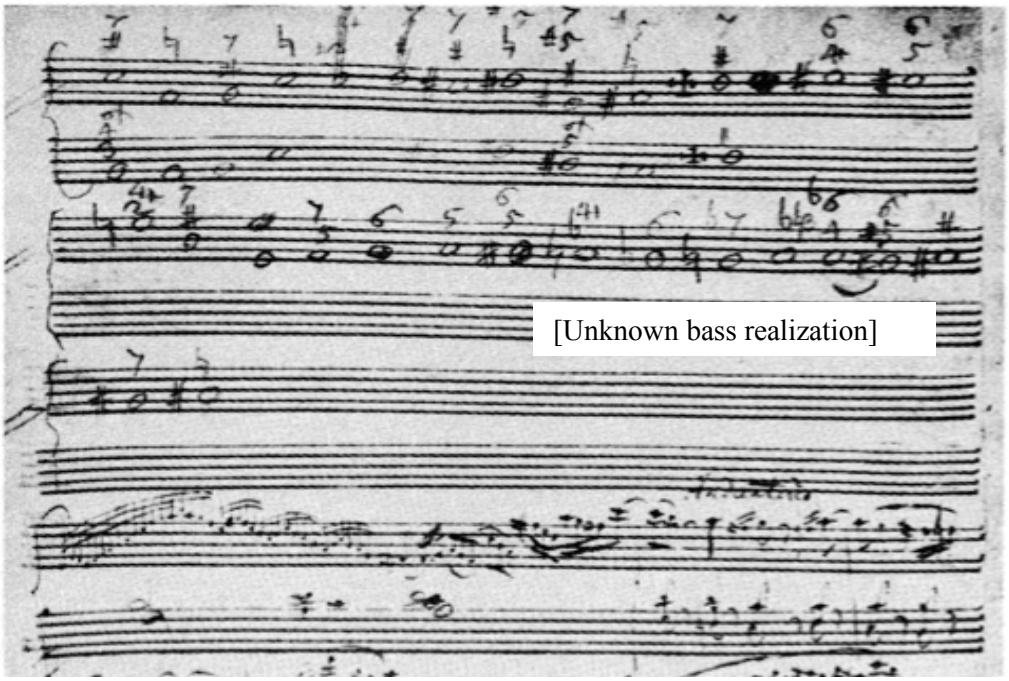
Mozart tried to instruct his sister on how to improvise the prelude; however, though Nannerl was a fine pianist, she lacked the ability to improvise and evidently memorized and performed as if she were spontaneously inventing them. If the bass realizations on the manuscripts of both modulation preludes (F–e), KV deest and (e–C), K. 624 are by his sister, it is obvious that she did not understand Mozart's harmonic plan for the prelude because the harmonic realization is not correct (see Ex. 40 and 41).[32]

30 Woflgang Amadeus Mozart, *The Letters of Mozart and his Family*, vol. I, tran. Emily Anderson and Ludwig Schiedermair, ed. C. B Oldman (London: MacMillan and Co., 1938), 411.
31 Ibid., vol. II, 575.
32 The handwriting on the bass realization in the upper right corner of the manuscripts for K. deest and K. 624 are not consistent with Mozart's handwriting style. Both are also wrong in their harmonic realizations for the particular piece. There is no evidence regarding who marked the bass realization on the score. One suggestion might be Nannerl, who had access to Mozart's manuscripts and was trying to understand his harmonic language. These might be just a random jotting to do with something else entirely.

Example 40: Mozart Modulation Prelude (F–e), KV deest, Manuscript[33]



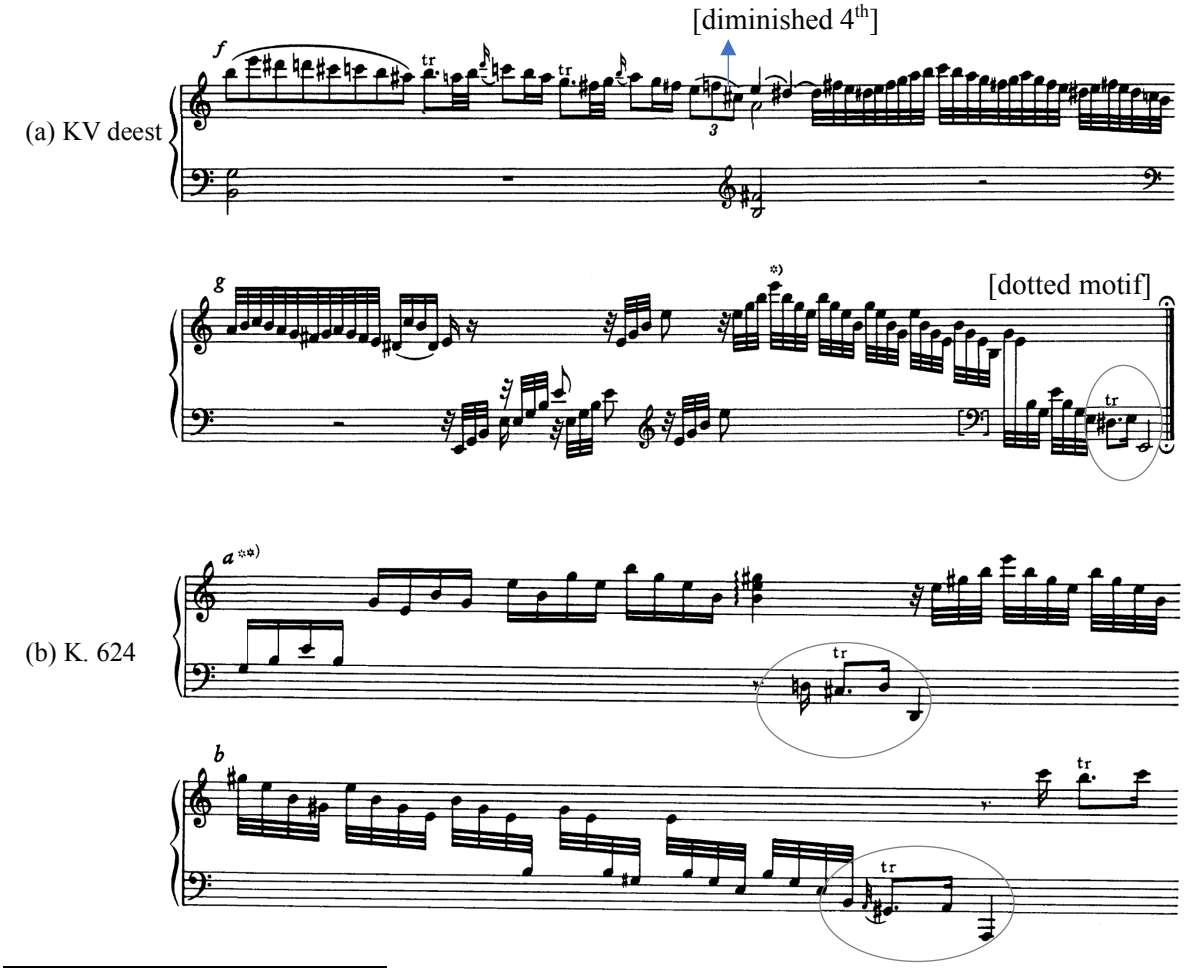
Example 41: Mozart Modulation Prelude (e–C), K. 624, Manuscript[34]



33 Wolfgang Amadeus Mozart, Piano Pieces, vol. 2: Individual Pieces, XXXVIII, edit Wolfgang Plath, 1982, The Digital Mozart Edition (DME), accessed, May 2017, http://dme.mozarteum.at/DME/nma/nmapub_srch.php?l=2.
34 Wolfgang Amadeus Mozart, Piano Pieces, vol. 2: Individual Pieces, XXXIX, edit Wolfgang Plath, 1982, The Digital Mozart Edition (DME), accessed, May 2017, http://dme.mozarteum.at/DME/nma/nmapub_srch.php?l=2.

The motive built upon an arpeggio followed by a dotted rhythm decorated by a trill at the end of the Modulation Prelude, KV deest (F–e) corresponds to the beginning of another fragmental work, Modulation Prelude, K. 624,[35] which is outlined by bass motions from e–C (see Ex. 42b). There is no indication that these two 1777 preludes are connected; however, it makes perfect sense that if one would link to combine and play these two pieces together, the modulation from F to C is well executed.

Example 42: Modulation Preludes, Motivic Connection
(a) Ending of KV deest (F–e), System f–g
(b) Beginning of K. 624 (626a) (e–C), System a–b



[35] There are two Köchel numbers for this fragment of a prelude. It categorized as K. 624 and it belongs to K. 6 deest, K. 626a, IX/27/2:2 (Anh. C15.11), The Digital Mozart Edition (DME), accessed November 2017, http://dme.mozarteum.at/DME/nma/nmapub_srch.php?l=2.

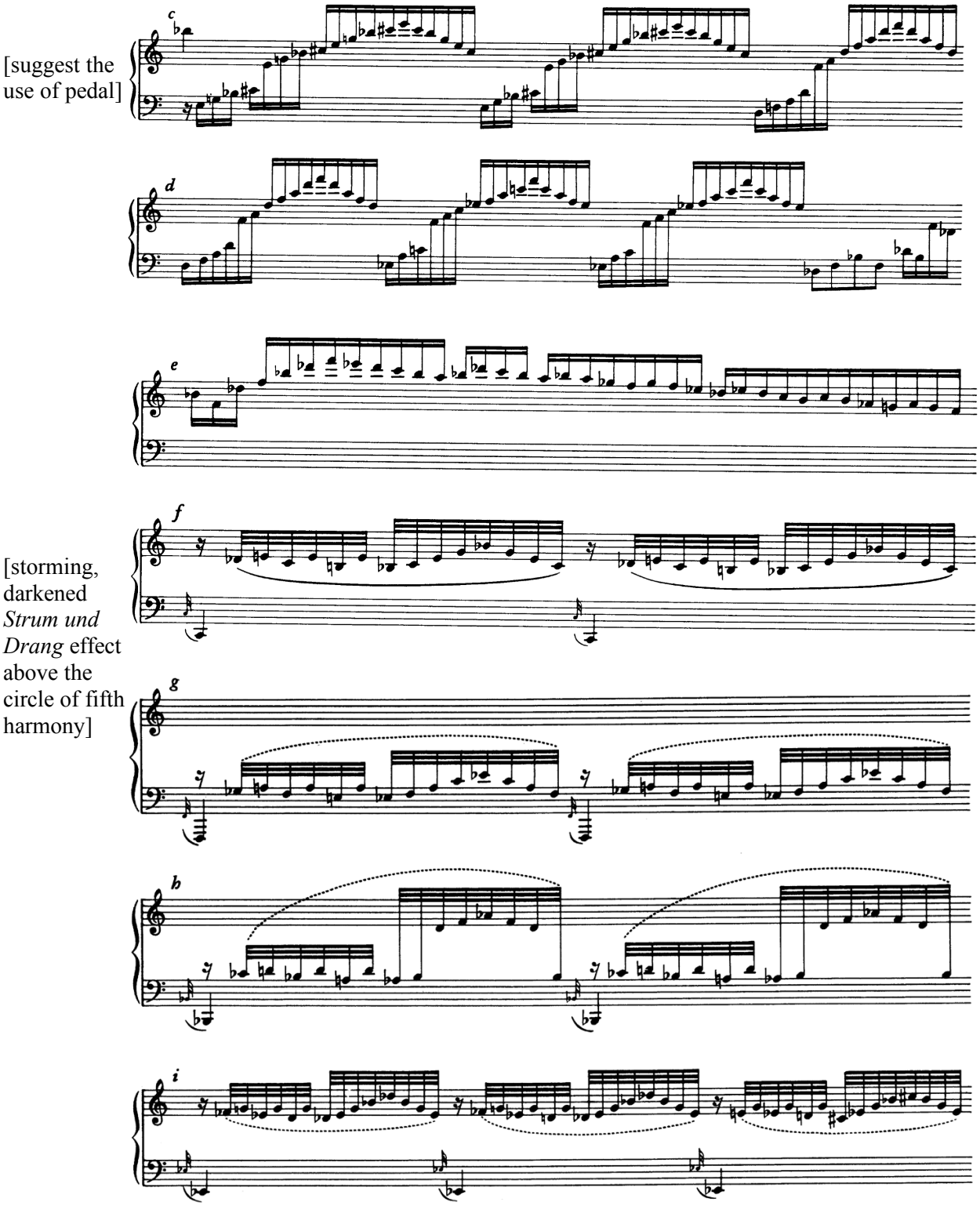
The nature of Mozart's Modulation Prelude, K. 624 further proposes the damper pedal as one choice of coloration that creates aural imagination.[36] According to a letter he sent in October 1777, Mozart enjoyed the damper and, on this occasion, mentions:

> I have played all my six sonatas (K. 279–K. 284) by heart several times. I played the fifth, in G (K. 283), at the grand concert in the Stube. The last one, in D (K. 284), sound exquisite on Stein's pianoforte. The device too which you work with our knee is better on his than on other instruments. I have only to touch it and it works; and when you shift your knee the slightest bit, you do not hear the least reverberation.[37]

The use of the damper presents one of the eighteenth-century fortepiano's most prominent characteristics. In K. 624, a more sustained, dreaming, and fantasy-like tone quality can be produced by lifting the knee lever; a softer and quieter effect (see Ex. 43, system c), can be portrayed by pulling out the hand-stop moderator; furthermore, the storming, darkened *Strum und Drang* effect above the circle of fifth harmony progression in system f (see Ex. 43) can be well projected by taking advantage of the dampers.

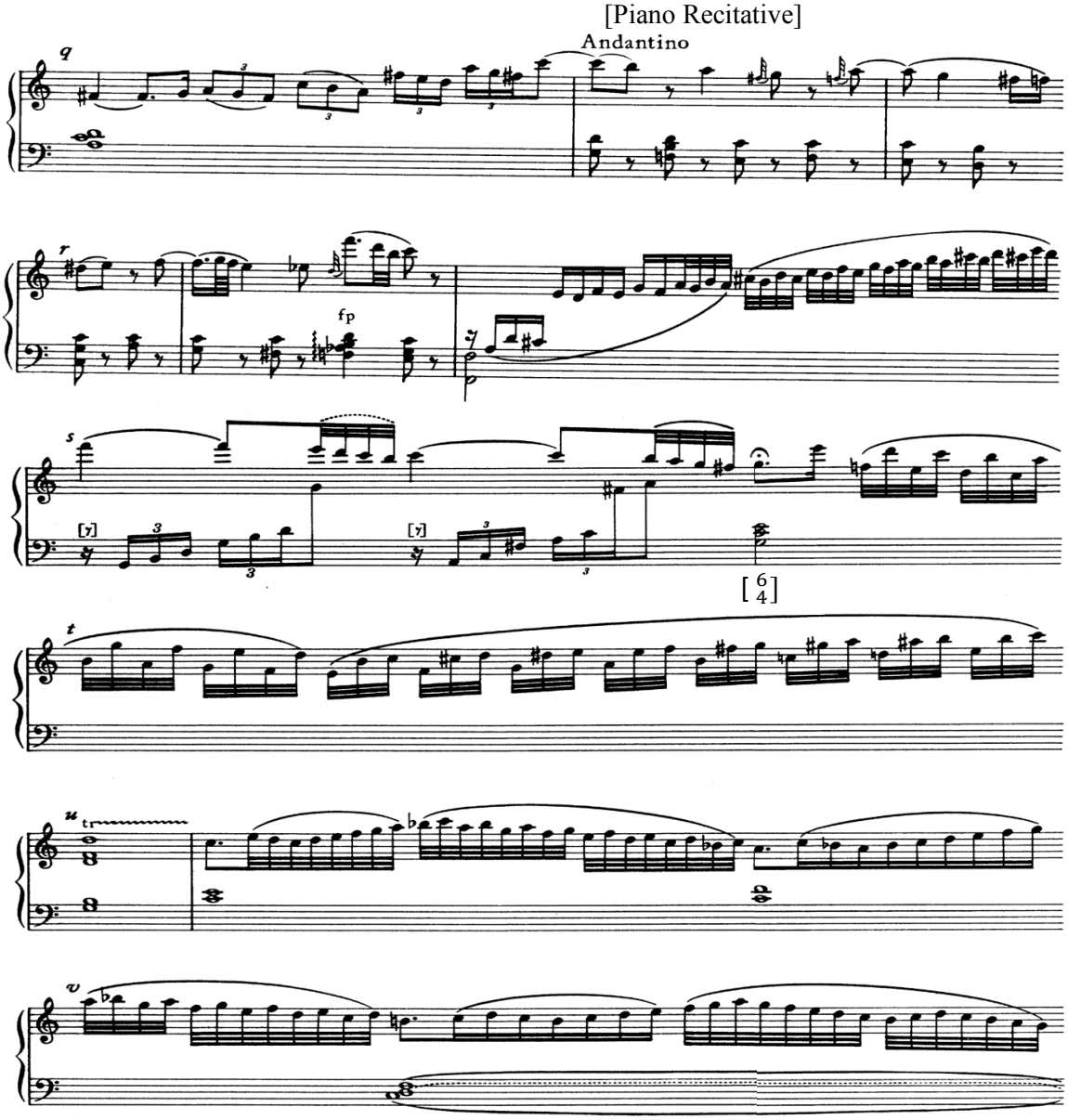
[36] The use of damper and its effect as one of the chief characteristic of the eighteenth-century pianos was mentioned in page 75.
[37] Wolfgang Amadeus Mozart, *The Letters of Mozart & His Family,* vol. II, trans. Emily Anderson and Ludwig Schiedermair, ed. C. B. Oldman (London: MacMillan and Co., 1938). 480–81.

Example 43: Mozart, Modulation Preludes, K. 624 (e–C), System c–i



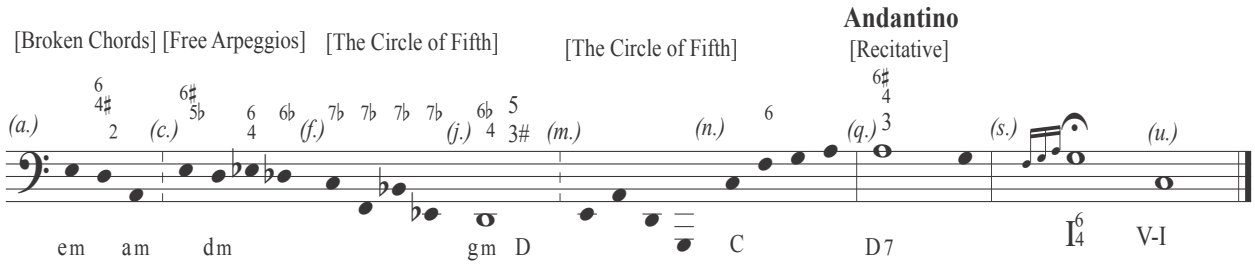
Resembling the unmeasured fantasias by C. P. E. Bach that contain sections with lyrical and melodic ideas, Mozart's K. 624 also contains a short three-bar Andantino that is rendered in piano recitative style (see Ex. 44, system q). Followed by a six-four chord on a fermata (in system s), these long slurs in the ending section imply calming and dreamy effects that could effortlessly achieved by employing the dampers judiciously.

Example 44: Mozart, Modulation Prelude (e–C), K. 624, Systems q to u



The spontaneously brilliant passagework in Mozart's cadenza movements often resembles those in toccatas and fantasias. As shown in Example 45, the structure of Mozart's Modulation Prelude K. 624 (e–C) is composed from the bassline. Following the figured bass practice, the expressive and recognizable norm that often used in Mozart's improvisatory pieces include: stepwise pre-cadential six-four bassline, fantasy-like stepwise motion, and the dissonance to consonant of 4– 3 that can either be $\frac{5}{4-3}$, or $\frac{6}{4}\ \frac{5}{4-3}$ mentioned earlier, these are inhered in the cadential point as $\frac{6-}{4-}\ \frac{5}{3}$.[38] Also, the blue-note harmony, the diminished fourth, produces a special, exquisite touch on the dissonance (such as in Ex. 42), an effect often used by later composers such as C. P. E. Bach in his free fantasias and in Mozart's modulation preludes.

Example 45: Mozart, Modulation Prelude (e–C) K. 624, Bass Analysis



Eingänge, as well as cadenzas, provide the impression of excessive freedom, unmotivated contrast, and insufficient coherence, all of which seems to cause the music to lose its way through the unexpected subversion of an apparently stable formal type. Although it is often assumed that written examples of toccatas, preludes, fantasies, cadenzas, and the like have a close connection to improvisation, these stylistic and compositional rhetorical gestures are just

[38] For further discussion of the appoggiatura, see Chapter Six, p. 154–58.

meant to encourage an understanding of improvisation's complexity–it is much more than something "being made up on the spot." As James Webster mentions in his book on Haydn and rhetorical performance, these elements are deliberate references to "the idea of improvising."[39] When improvising, the concept speaks more than the note; what the performer thinks is more interesting than how he plays. It is not only an abiding fascination that links the study of theory and composition into a large scale of recollection it also shows the attitude of enthusiasm regarding an expressive art form, which represents the eighteenth century.

Creating an improvisation that sounds "free" requires years of practice and experience. The aim of this next chapter is to present a collection of examples and provide a variety of figurations and motives based upon harmonic progressions to aid performers to mater the language of improvisatory gestures in a desired affect.

[39] James Webster, *The Rhetoric of Improvisation in Haydn's Keyboard Music,* Tom Beghin and Sander M Goldberg ed., *Haydn and the Performance of Rhetoric* (Chicago: University of Chicago Press, 2007), 175.

CHAPTER FIVE:
FIGURED BASS PRACTICE AND EXERCISE FOR IMPROVISATORY GENRES IN MOZART'S PIANO WORK

This chapter and the following exercises examine structures in improvisatory genres of Mozart's piano work, which are guided by figured bass practice. These include cadential formulas, with each dissonance having its own rules for resolution, and improvisatory patterns, as well as sequential patterns that Mozart often integrates within his developing ideas.[1] This chapter also serves as a guideline for introducing thoroughbass treatises from this period.

Types of basslines and corresponding practice materials for improvisatory genres in Mozart's piano work in this chapter will include: the cadential six-four chord, stepwise motion in fantasia style, and the use of diminished dissonances. This section will start by introducing the circle of fifths and a cadential formula with a 4–3 suspension, the basic compound cadences ($\frac{5}{4-}\ _3$), and the double cadence ($\frac{6}{4}\ \frac{5}{4}\ _3$). Later, the $\frac{6-}{4-}\ \frac{5}{3}$ appoggiatura, the cadential six-four that Mozart uses to indicates his *Eingänge* and cadenzas in his concertos, will be introduced, followed by sequential exercises using 5–6 and 7–6 suspension and the circle of fifths. This section will also include examples from his piano concerto cadenzas to show how Mozart integrates these formulas into his music.

The second part of the practice examines bass motions from I–V, including the so-called Rule of the Octave[2] and the descending tetrachord, and considers how Mozart incorporates these into his piano cadenzas. These exercises provide a basic frame to use when developing musical

[1] Motivic development will not be fully covered within the scope of this document; however, ideas that are developed using sequential formulas in his piano concerts are introduced here.

[2] The Rule of the Octave is a common practice deriving from thoroughbass customs. Exercises can be found in treatises by Italian composers who practice improvisatory partimenti, such as Francesco Bianciardi (Siena, 1570–1607), Durante, and Tomeoni, as well as Jean-François Dandrieu (Paris, 1682–1738), whose book *Principes de l'accompagnement du clavecin* contains detailed discussions. Francesco Gaspanini continues the genre of Dandrieu in his *L'armonico pratico al cimbalo* from 1708. These method books didn't call it the RO and just expect players to recognize it according to the bassline. It was eventually codified as the RO.

ideas in the middle section during his cadenzas.

Transposing in the order of the circle of fifths is one of the most efficient ways for practicing these exercises. As the German composer and organist Spiridion a Monte Carmelo (1616–1685) mentions in a brief preface to his keyboard manual for improvisation methodology *Nova Instructio*:

> Those *cadentiae* in this work, which you consider to be the most interesting, should be transposed in all keys, beginning with the shortest and the easiest. From the practice of transposing, which is the fundamental part of this work, follows the ease of elaborating every kind of intermediate and final cadence, as well as transposing a Thoroughbass in any key.[3]

The practice of using the circle of fifths for transposition and learning cadential formulas in all keys is essential, especially for ending an improvisation or modulating to and reaching a cadence in a new key. Many others advocate this, such as Pellegrino Tomeoni (1721–1816), who, in his theoretical work, *Regole Practiche* (Florence, 1795),[4] also lists his practices by key circles. These examples provide a valuable means to practice playing a gesture in different keys until the physical habits become subconsciously ingrained in the hands and fingers, while also remaining consciously in the mind.

Example 46 illustrates bassline with a circle of fifths that creates intensification in sequential passages. With the bass rising by fourths and falling by fifths, Example 46a shows a diatonic sequence and an alternate chromatic one using applied chords. The uses of suspension on applied seventh chords in Example 46b shows the enhanced motion by Handel.[5] Dissonance using ninth and seventh often signifies intensified motion toward a goal. In his book on

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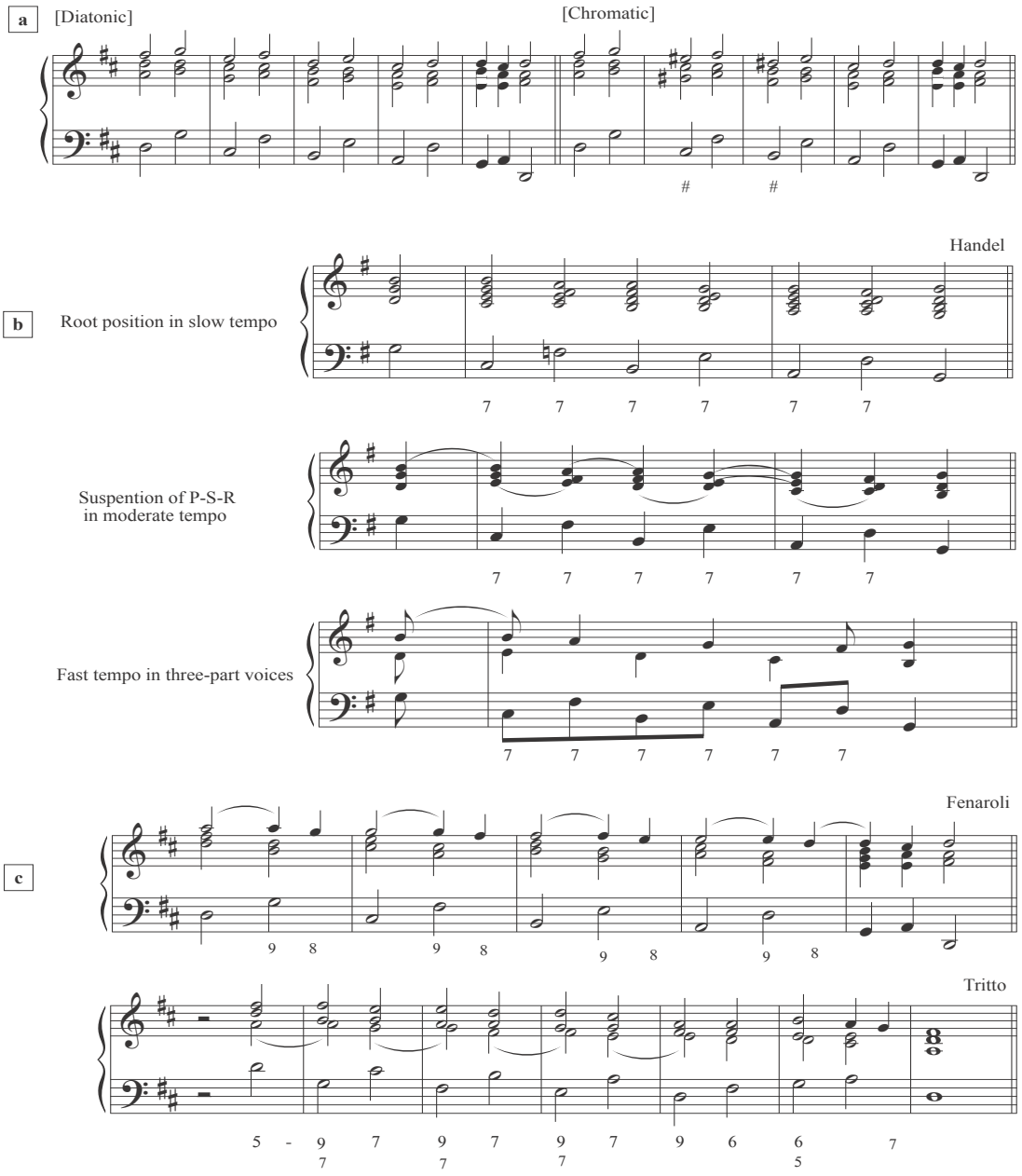
[3] Spiridion a Monte Carmelo, *Nova Instructio Pulsandis Organis, Spinettis, Manuchordiis, etc.* Pars Prima (Bamberg 1670); Pars Secunda (Bamberg 1671), ed. Edoardo Bellotti (Colledara: Andromeda Editrice, 2003), xxv (translated in Bellotti 2008, x–xi).
[4] Pellegrino Tomeoni, *Regole Pratiche Per Accompagnare il Basso Continuo* (Bologna: Forni Editore, 1971).
[5] George Frideric Handel and David Ledbetter. *Continuo Playing According to Handel: His Figured Bass Exercises* (Oxford: Oxford University Press, 1990), 24.

partimenti, Sanguinetti provides these sequential exercises (see Ex. 46c); he emphasizes, as he quotes from Fenaroli, the "essential motion"[6] and using dissonant sevenths and ninths.

Example 46: Circle of Fifths Exercise, Diatonic and Chromatic

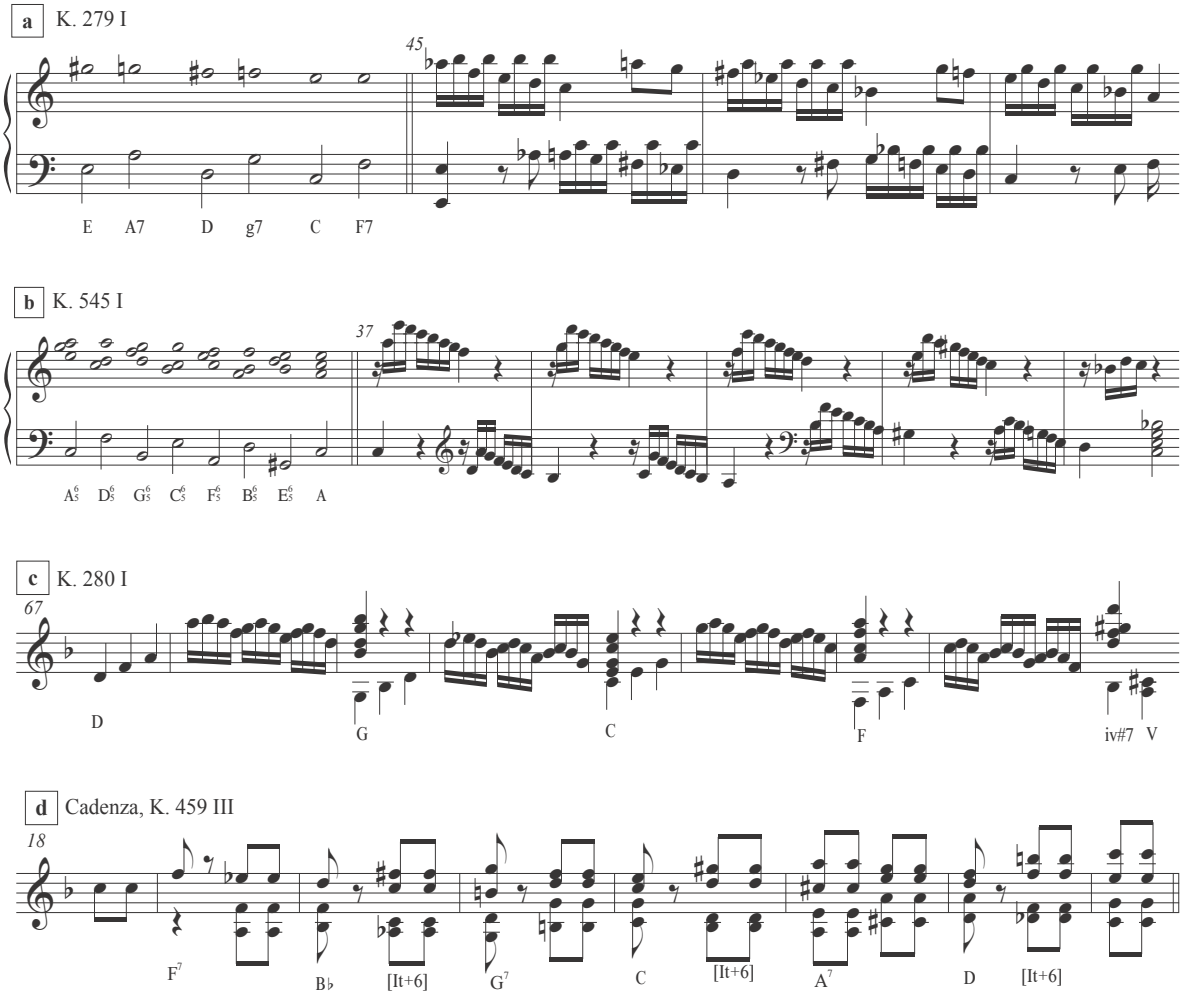


[6] Giorgio Sanguinetti, *The Art of Partimento: History, Theory, and Practice,* (New York: Oxford University Press, 2012), 153–154. Sanguinetti quotes Fenaroli in saying that the "essential motion" means the first note may be considered as a "fifth scale degree moving to a first." The exercise in Sanguinetti's is transposed to D major here.

Use of Circle of Fifths as Themetic Development

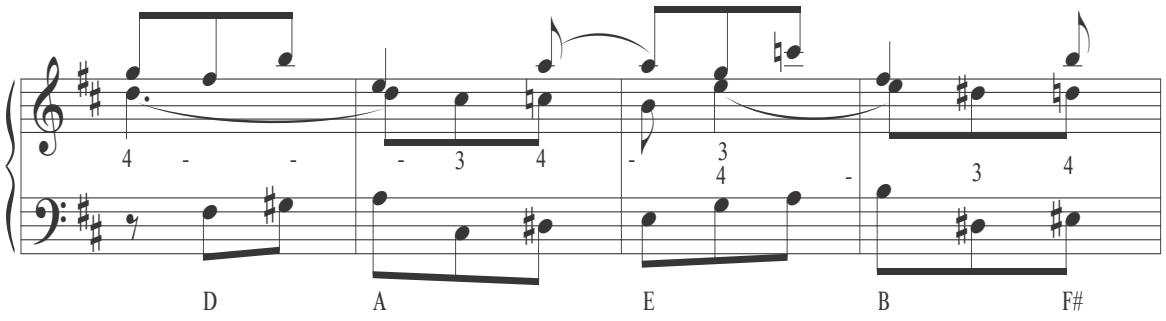
The practice of moving in fifths is effective and expressive in Mozart's piano sonatas, where he often uses the circle of fifths as a strong harmonically-driven tool with carnival-like celebrations, like the fast figurations shown in Example 47. Mozart utilizes the fifth sequence in the development for transitions between musical ideas. The harmonic motion in fifths is a more characteristic feature in his piano concertos, for instance, in his Rondo, K. 459, the interaction between harmony in fifths with an augmented sixth chord that decorates its theme creates a witty and colorful drive to the arrival. (see Ex. 47d).

Example 47: Mozart, Idea Developing in Circle of Fifths, Piano Sonatas



Theoretically, there is a backward circle of fifth in which, instead of the bass descending by fifths, the bass rises by fifths and falls by fourths, the ascending fifths. In Example 48a, Handel use Bach's prelude for demonstrating the use of dissonance to enhance harmonic sequences.[7] In his Rondo, K. 382, Mozart also implies this fifths drive, as shown in Example 48b.

Example 48: Backward Circle of Fifths with 4 –3 and 9 –8, Mozart, Rondo in D Major K. 382, Cadenza, bars 7–10



The Compound Cadences: $\frac{5}{4}$– 3

The cadences that link fourth to third suspensions are called *cadenze composte* (compound cadences) and are shown in Example 49. The basic form involves having the dissonant fourth suspended on the strong beat of the dominant and is shown in Example 49a in three positions. The exercise includes voice leading in which the dissonant fourth is prepared by the eighth, sixth, and third from the previous bass harmony (see Example 49b). The example is

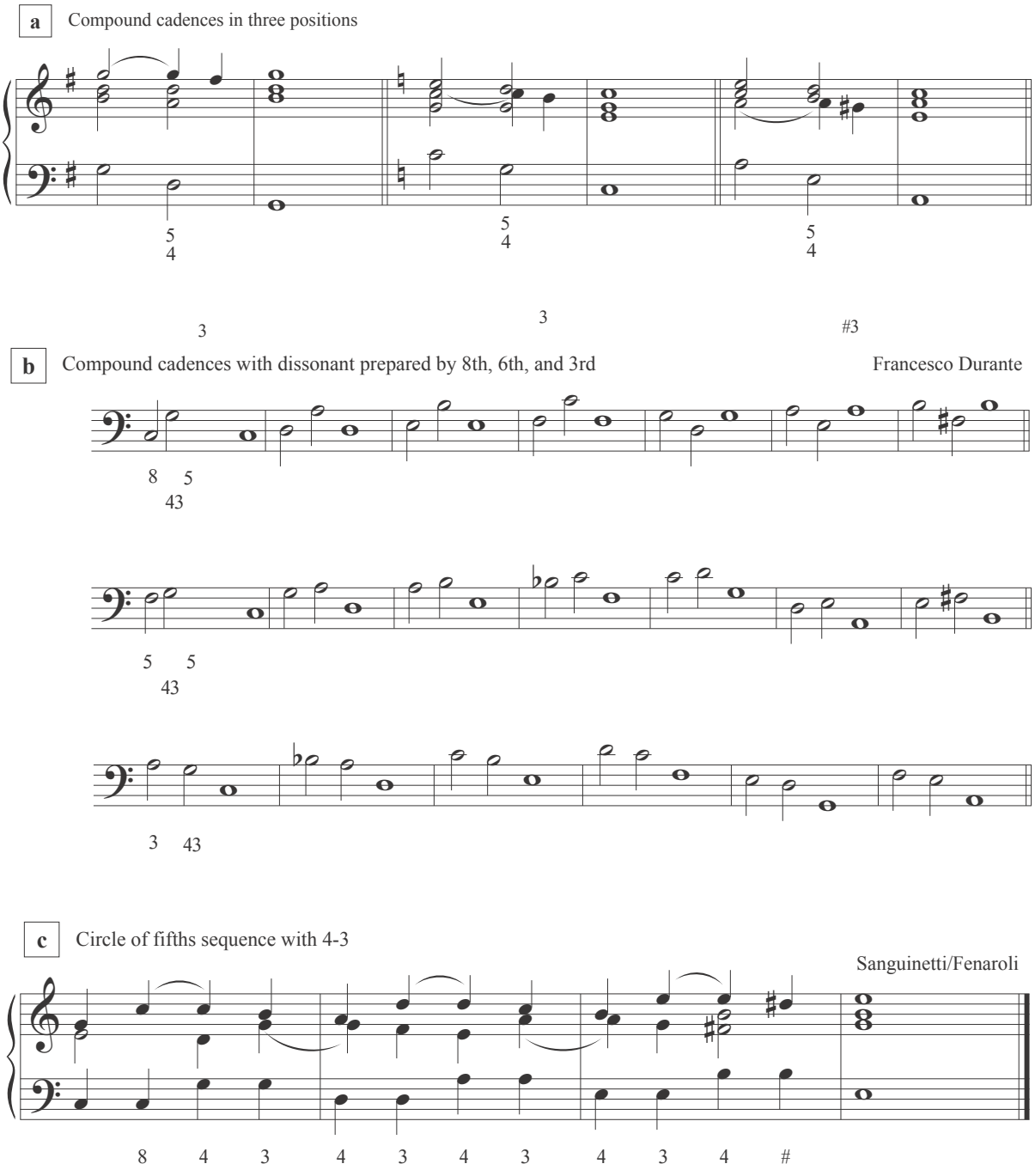
[7] George Frideric Handel, *Continuo Playing According*, 33.

from the first page of *Bassi e Fughe*,[8] a guide written by Neapolitan composer Francesco Durante (1684–1755) that provides a thorough exercise on compound cadences.

Example 49c shows one of the partimenti by Fedele Fenaroli (Naples, 1730–1818) that uses sequential bass motions and compound cadences.[9] A partimento, as Giorgio Sanguinetti defines it, "is a sketch, written on a single staff, whose main purpose is to be a guide for improvisation of a composition at the keyboard."[10] In his study, *The Art of Partimento*, Sanguinetti includes a thorough discussion of the background and definitions of cadences categorized by Neapolitan masters. His study revives Baroque keyboard improvisation and partimento playing using techniques adapted from Baroque-period pedagogical practices. Sanguinetti also discusses how, in this period, when the figured bass was used to provide a piece's framework in an ostensibly improvised genre, teachers also provided valuable formulas called *regole* (rules) [11] of the octave, with which unfigured-bass harmonization was taught. Such harmonization from the bassline progression is used frequently in cadenzas.

[8] Francesco Durante and Giuseppe A. Pastore, *Bassi e fughe: un manuale Inedito per riscoprire la vera prassi esecutiva della Scuola napoletana del Settecento* (Padova: Armelin, 2003), 3.
[9] Giorgio Sanguinetti, *The Art of Partimento: History, Theory, and Practice* (New York: Oxford University Press, 2012), 156.
[10] Ibid., 14.
[11] Ibid., 105–111 and 128–131.

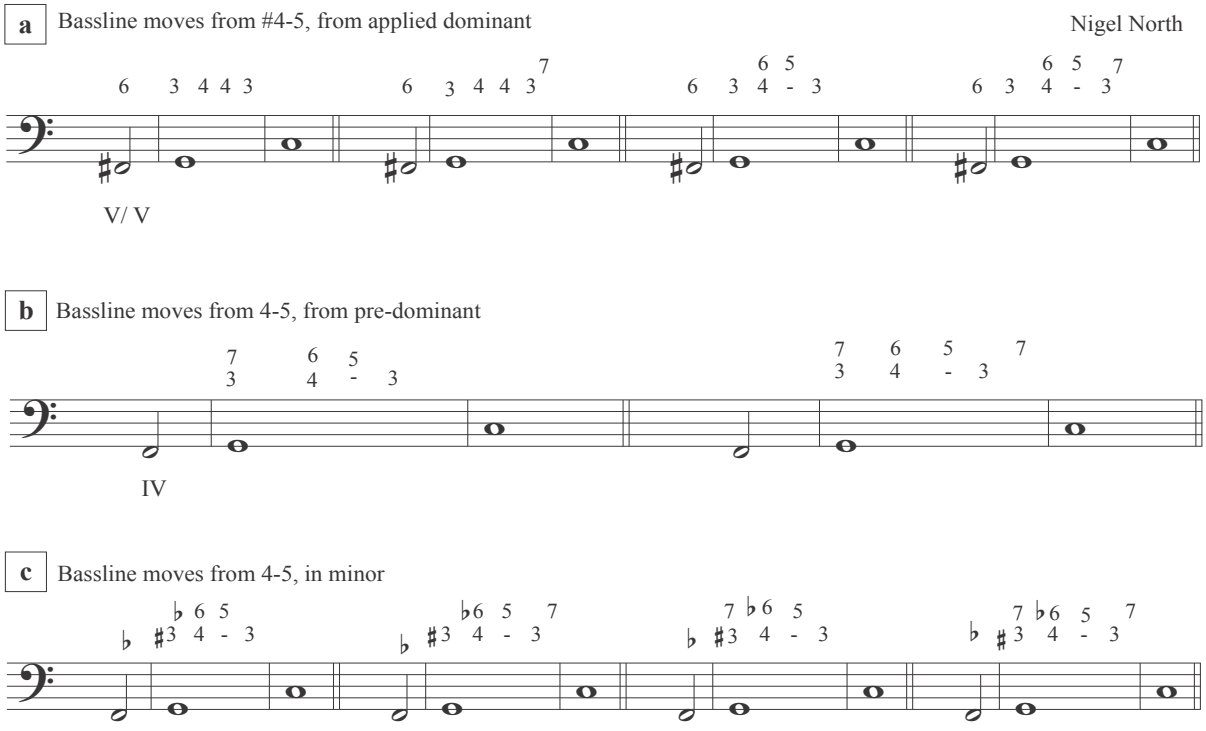
Example 49: Compound Cadences
(a) Compound Cadences in Three Positions
(b) Francesco Durante
(c) Sanguinetti/Fenaroli, Bass Rising by Fifths and Falling by Fourths with 4 –3 Sequence



The Double Cadence: $\frac{6}{4}$ $\frac{5}{4-3}$

Another often-built cadence in Italian toccatas is called the cadenza doppia, or the double cadence. The double cadence consists of a "suspended form" for expanding and strengthening the dissonance. The delayed resolution on the dominant is prolonged by a double dissonance and the suspension enters on the strong beat. In his insightful publication regarding continuo playing on early plucked instruments,[12] Lutenist Nigel North includes a helpful guide to cadences (see Example 50). Using the bass motion 4– ♯4– 5, the cadenzas arrive on the last dominant seventh with a cadential trill. In the example, Professor North first lists the 4– 3 suspensions in one voice and later adds seventh suspensions.

Example 50: Nigel North, Double Cadences Practice with Bass Motion 4 –(♯4) –5 –1



[12] Nigel North, *Continuo Playing on the Lute, Archlute, and Theorbo* (Bloomington: Indiana University Press, 1987), 124.

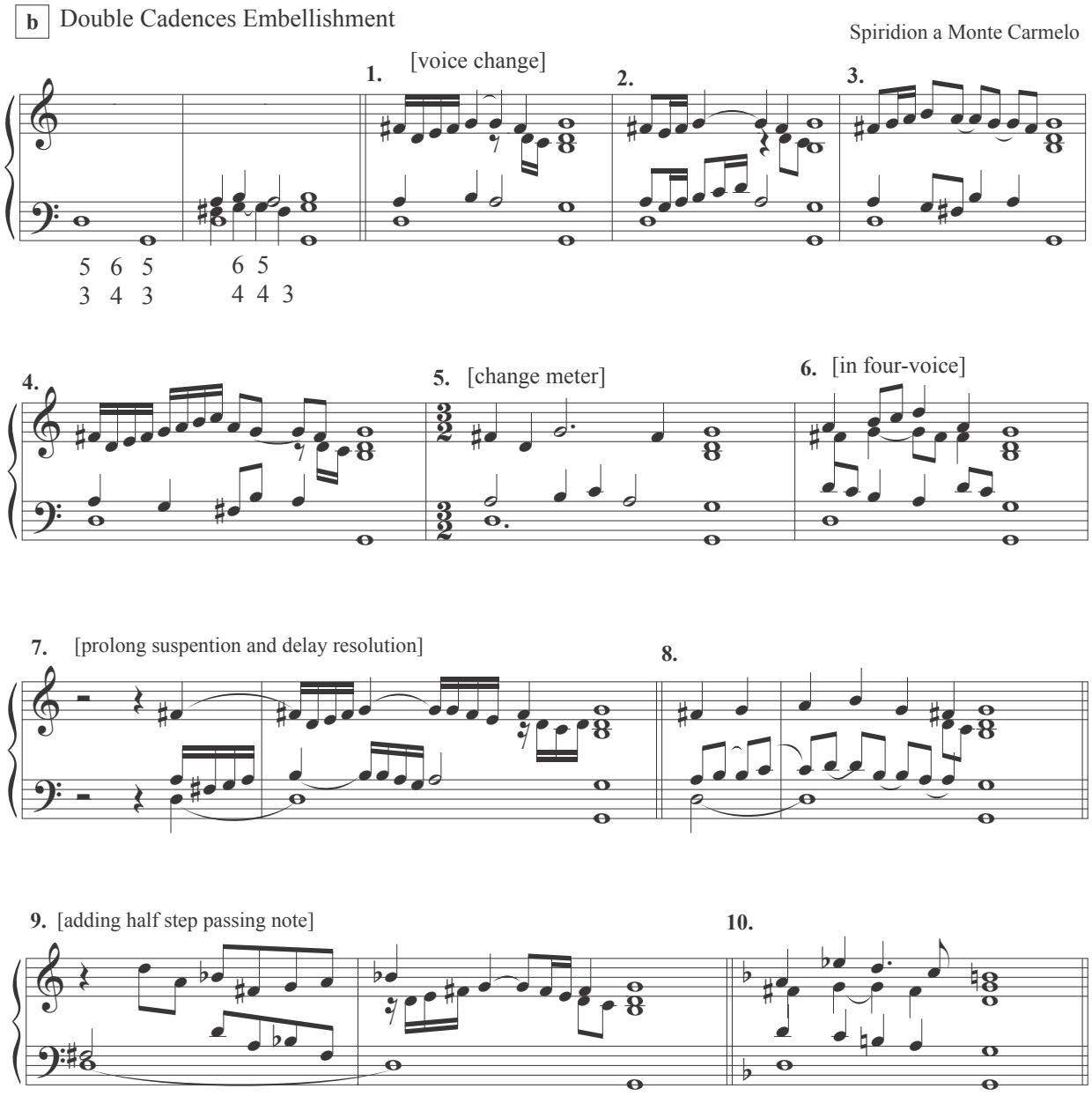
These cadences can be decorated by using the passaggio, the Italian term for diminution technique. Passaggi contain longer melodic and virtuosic patterns, especially in those of Frescobaldi. As Spiridion's book of examples proceeds, each formula gradually adds difficulties with rhythmic, contrapuntal, and textural complexity. For instance, Spiridion writes seventy-two formulas for decorating the authentic cadence. First, he provides a skeleton of an authentic cadence and a double cadence with its suspension (see Ex. 51, bars 1–2). Then the two upper voices are shown inverted, which provides a large variety of dispositions using the same counterpoint and suspensions.

Example 51 shows that by placing the hands in the same position in these variations, the performer will find that decorating the harmony becomes effortless; for instance, a rising step can be embellished by simply leaping a third (Var. 5), playing a falling third and then a stepwise rising fourth (Var. b), or playing a neighbor note in the opposite direction (Var. 3). Variation f is embellished from Var. 5 by adding one voice in the tenor while inverting the other two voices. The prolongation, as well as the delayed resolution of the fourth and the turn after the beat in Var. 7 and 8, were often mentioned in diminution technique in German treatises.

These decorative figurations in Spiridion's cadence exercises correspond to the closing section of Mozart's cadenzas where the six-four chord moves to dominant seventh chord with cadential trills.[13]

[13] See: Cadenza Closing Section and The Pre-Cadential Bassline, Chapter Eleven, page 319.

Example 51: Spiridion a Monte Carmelo, *Pars Prima,* Cadentia Prima (excerpt), Double Cadences Embellishment[14]



[14] The variety of Spiridion's cadences embellishment provide practice models for embellishing cadenza's closing section when Cad $\frac{6}{4}$ moves to cadential trills on dominant-seventh chord. See Practice V, p. 327–39.

Bassline with Three-Section Plan

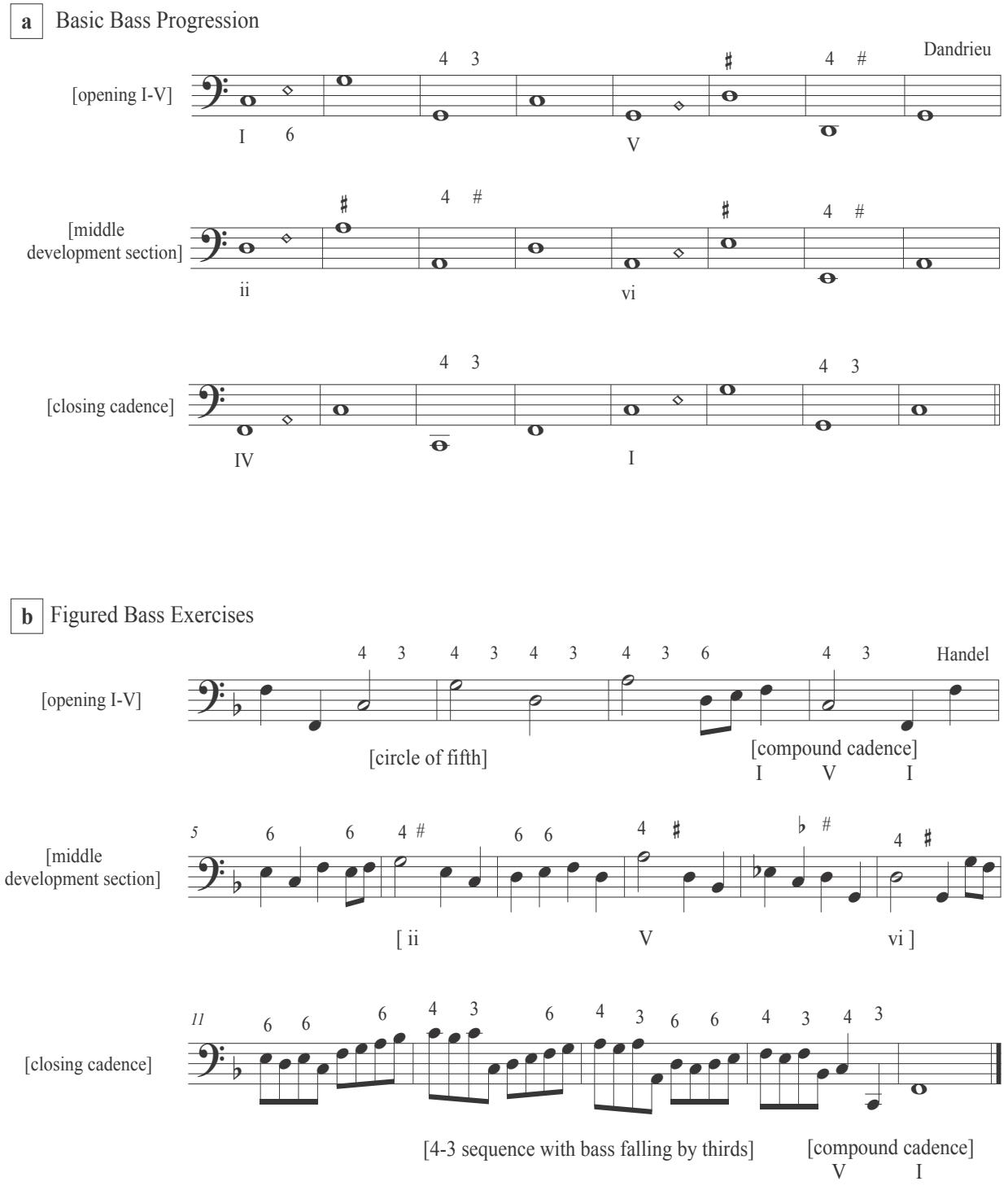
We have discussed the bassline structure in C. P. E. Bach's Free Fantasia in D Major and how it can be viewed as a three-section plan. The following exercises in Example 52 both show bass progressions by Dandrieu and Handel, which provide a schema for improvisation in three-section.

Example 52a shows the first two exercises from *Principes de l'Acompagnement du Clavecin* by Jean-François Dandrieu (1682–1738).[15] To use this exercise as a basic model, the harmony is moving in fifths; a passing sixth for decorating the bass and the 4 –3 suspension is added for emphasizing the cadences. Note that the sharp sign refers to the third above the bass. The three-section plan is marked as: the opening section which moves from tonic to dominant, a middle section with brief modulation, and the last section, the closing cadence.

A brief bassline composition can be found in Handel's figured bass exercises; here, Ledbetter points out the 4 –3 suspension is the "most common decoration of a perfect cadence."[16] Example 52b shows one of his 4 –3 suspension exercises. These suspensions are used when articulating phrases (as in bars 6, 8, and 10 on the dominant and relative minor chords) and when indicating cadences (as in these compound and authentic cadences in bars 4 and 15). The 4 –3 suspension can also be employed as a sequential decoration in a circle of fifths progression (bars 1–3) and when the bass descends by thirds (bars 12–14).

[15] Dandrieu, Jean François, *Principes De L'accompagnement Du Clavecin.* (Réimpr. de l'éd. de Paris, ca. 1719.) Genève: Minkoff Reprint, 1972.
[16] George Frideric Handel and David Ledbetter, *Continuo Playing According to Handel: His Figured Bass Exercises* (Oxford: Oxford University Press, 1990), 12–13.

Example 52: Bass Progression in a Three-Section Plan
(a) Dandrieu, Basic Bass Progression, with 4 –3 Suspension Emphasizing the Cadences
(b) Handel, Figured Bass Exercises, 4 –3 Suspension

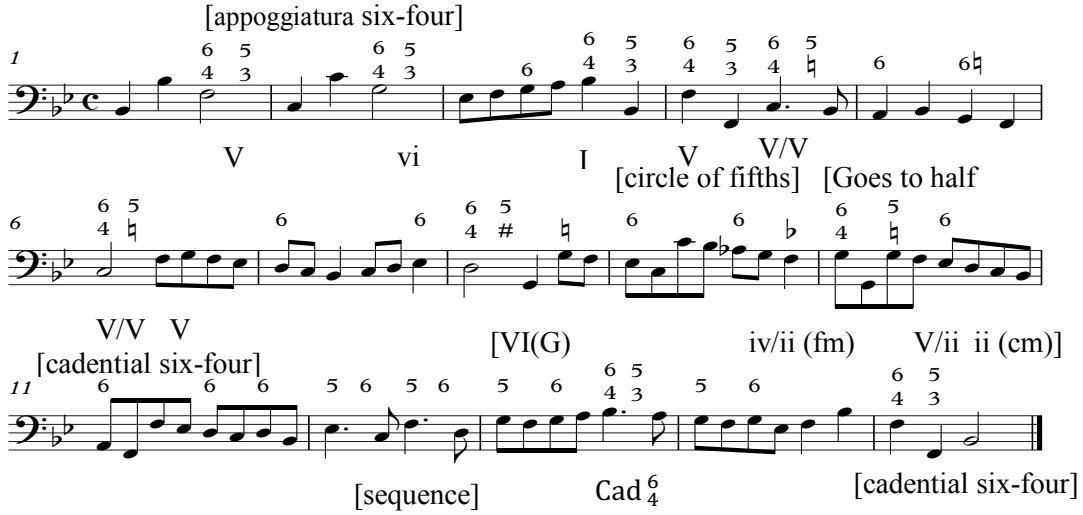


Appoggiatura Six-Four

The following exercise by Handel shows a more developed bassline with an implied three-section plan. The three-section plan: opening, development, and closing marked Mozart's cadenza structure.[17] The musical structures can be recognized and anticipated by analyzing the bassline. For instance, in Example 53, the natural sign in bar 6 in Handel's exercise indicates that the harmony is going to F major, the dominant of its original key. From the half cadence in bar 6, the harmony travels from vi to ii with a more intense eighth-note rhythm and a sequence that brings the bass back to a six-four chord on the tonic B-flat in bar 13. The quarter notes release rhythmic tension in the last section and stabilize the final cadence.

As stated earlier, the appoggiatura six-four functions as the dominant harmony when a dissonance resolving to a consonance. It also functions as the cadential six-four, which resolve to a five-three chord on tonic.[18]

Example 53: Handel, Six-Four Chord Exercise



[17] As music theorist John Irving mentions, Eva and Paul Badura-Skoda's own cadenzas for Mozart concerti, "convincingly demonstrated that Mozart's cadenzas typically subdivide into three regions, broadly following a 'beginning-middle-end' strategy." See: John Irving, Mozart's Piano Concertos , (Burlington, VT: Ashgate, 2003), 160.

[18] See Example 31, p. 106.

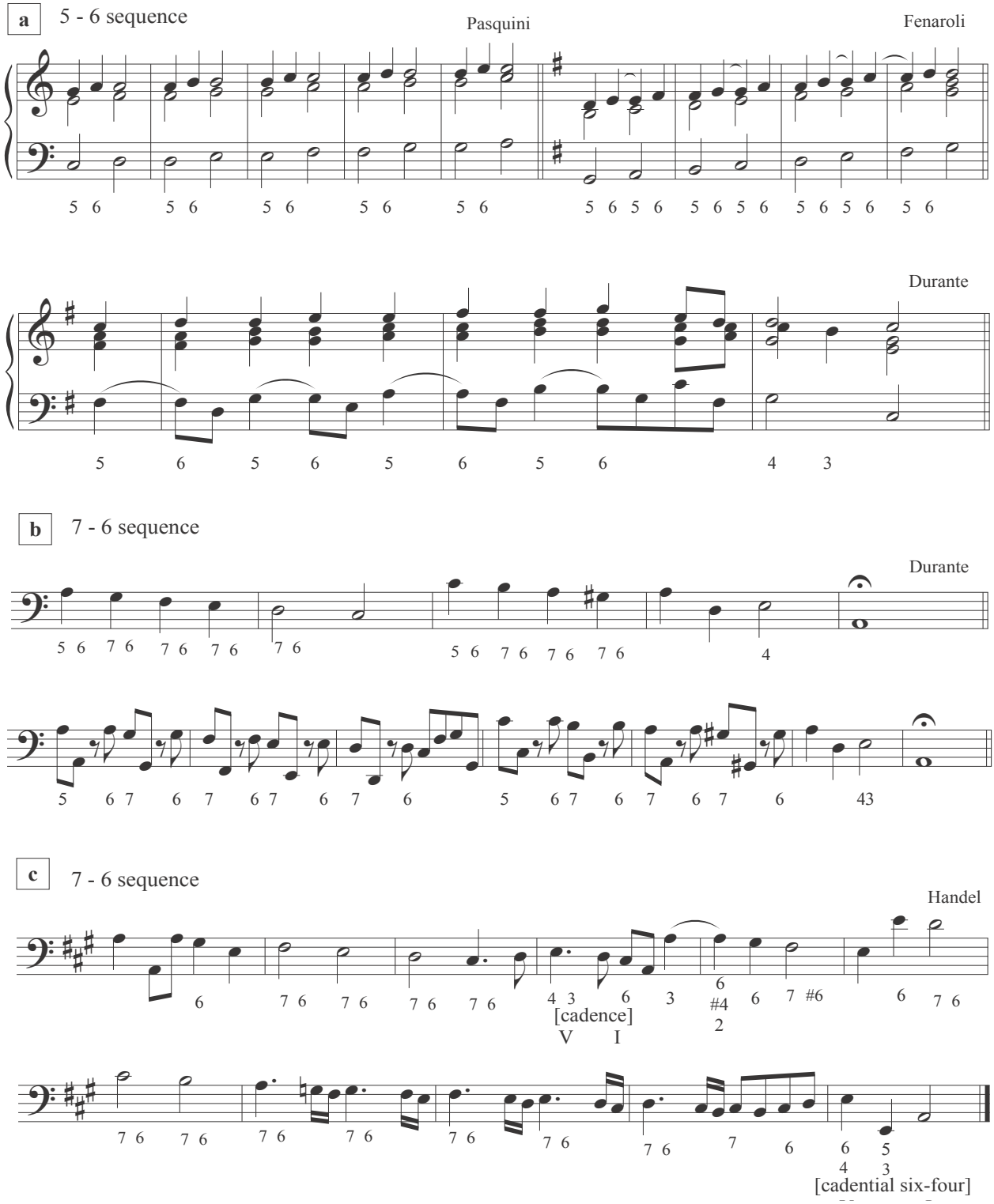
5 –6 and 7– 6 Sequence

Sequential movement in the bassline creates a compact texture while increasing tension when arriving on the dominant. In Example 53 above, Handel illustrates an ascending sequence using 5– 6 motion in bar 12. Such 5– 6 sequences and partimento exercises can be found in Sanguinetti's study as well as in Handel's exercises, as shown in Example 54.[19] Another commonly used sequence, the 7– 6 sequence, is shown in Example 54b and taken from Durante.[20] It is an "essential decoration of a chain of parallel six- chords."[21] Both Examples first introduce a simple sequence then follow it with a variation on the simple sequence.

Handel's exercise (see Ex. 54c) shows a more structural bassline that expands the 7– 6 suspensions into a small-scale composition, in a three-section plan and articulated by cadences. Shortly after the 7– 6 sequence decorates the cadence in bar 4, the suspension between 2-chord and 7– 6 brings the harmony into its dominant key, E. This is followed by a chain of descending parallel sixth chords, decorated by sevenths, which reaches the tonic sixth in bar 10 and creates the final cadence.

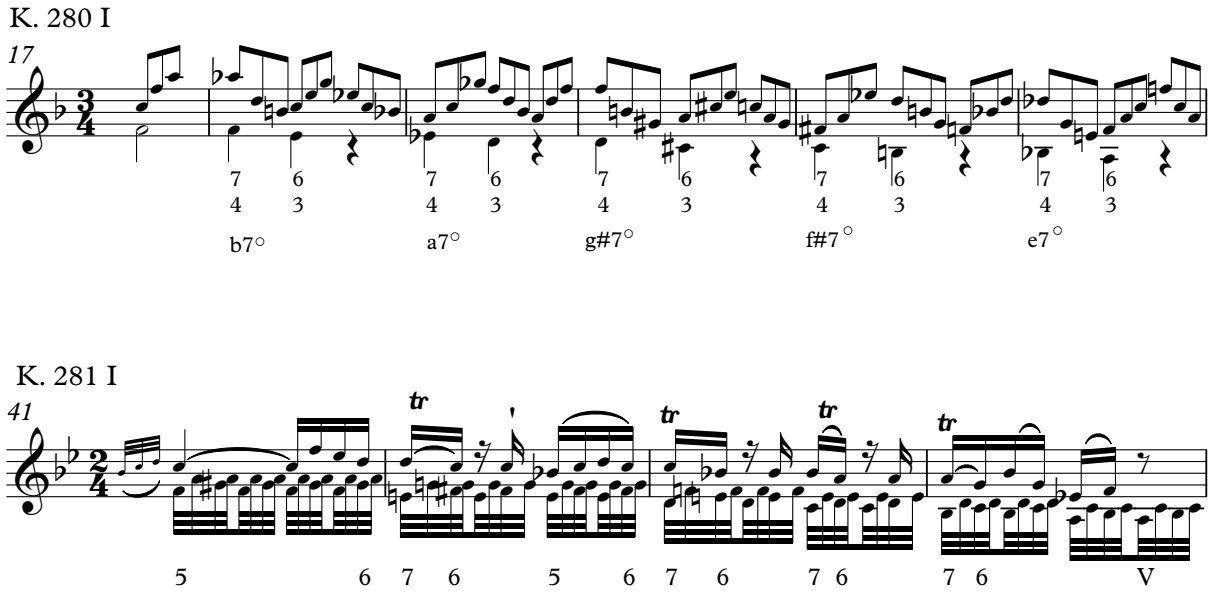
[19] Sanguinetti, *The Art of Partimento,* 137.
[20] Francesco Durante and Giuseppe A. Pastore, *Bassi e Fughe: Un Manuale Inedito per Riscoprire la Vera Prassi Esecutiva Della Scuola Napoletana Del Settecento* (Padova: Armelin, 2003), 10.
[21] George Frideric Handel, *Continuo Playing*, 22.

Example 54: Sequential Bassline
(a) Sanguinetti/ Fenaroli/ Pasquini/ Durante, 5 –6 Sequence
(b) Durante, 7 –6 Partimento Exercise and a Variation
(c) Handel, Suspension of the Sixth (7 –6)

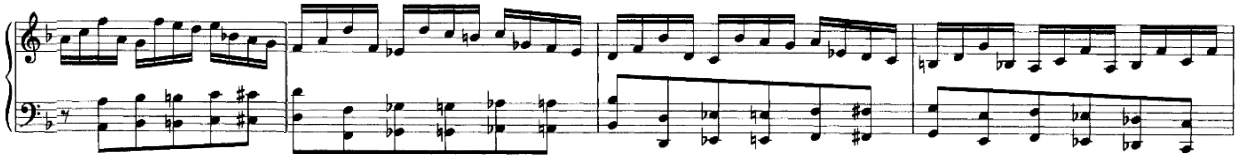


These sequential suspensions, using 5 –6 and 7– 6 sequences, are a bridge with dissonant color but without distant modulation, which Mozart often uses when transitioning between passages or developing ideas. For instance, sequential passages in K. 280 appear in a transitional passage in the exposition; likewise, he develops ideas using sequences at the beginning of the development in K. 281 (see Ex. 55). In his piano concerti, these ideas developed by sequences are incorporated with characteristic basslines moving by fifths, descending by thirds, or in chromatic motions (see Ex. 56).

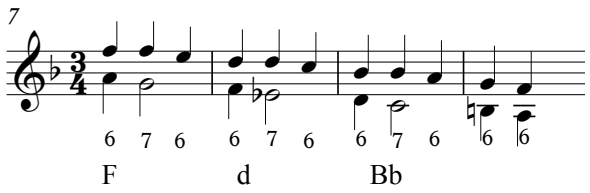
Example 55: Mozart, Piano Sonatas, 5 –6 and 7– 6 sequences



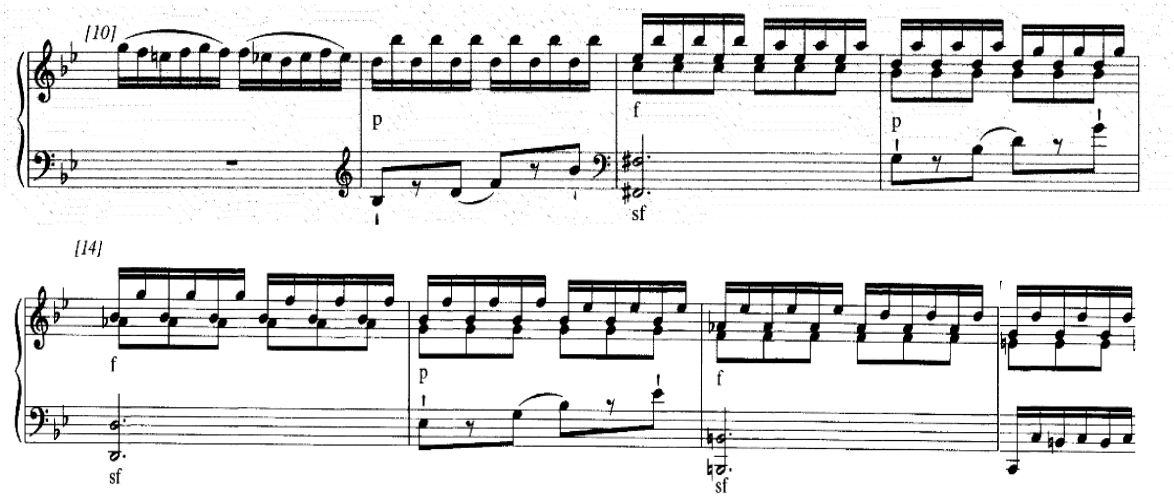
Example 56: Mozart, Piano Concerti, Cadenzas, 5 –6 and 7– 6 sequences
(a) K. 413 I, Cadenza, bar 7



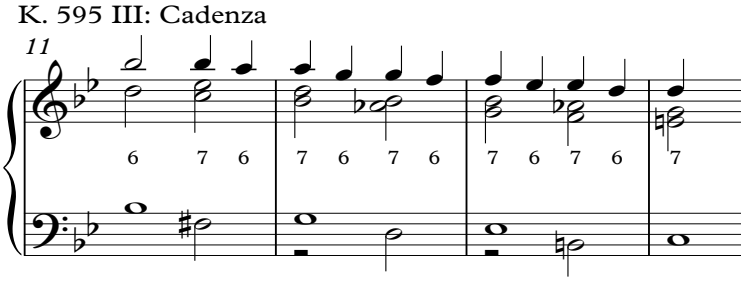
Right Hand paradigm:



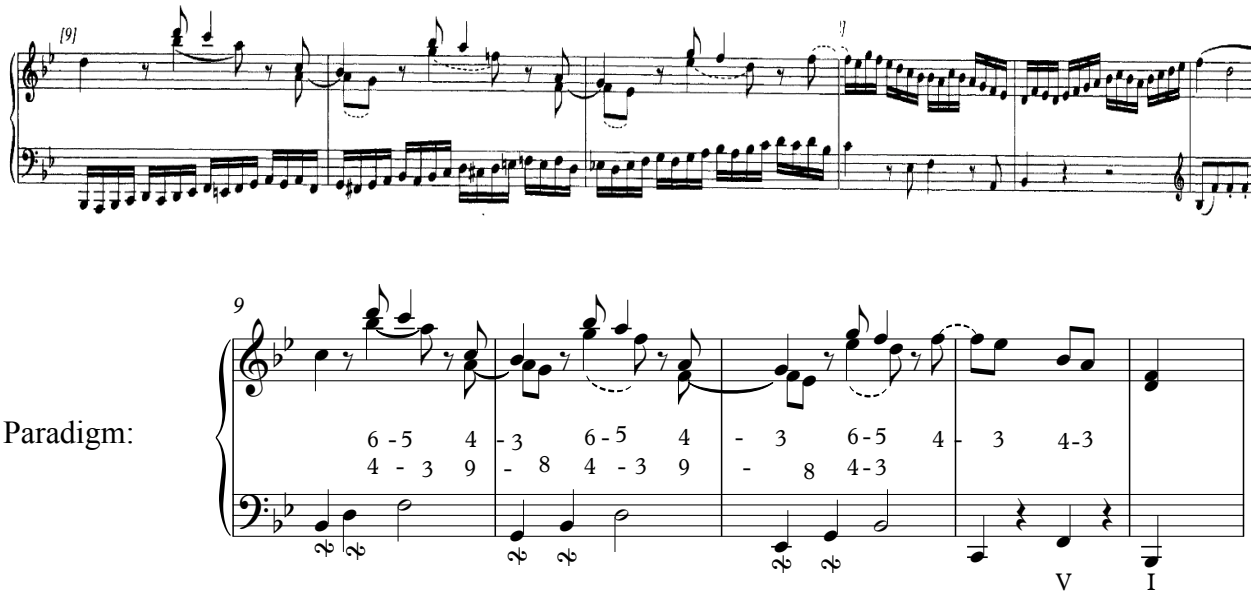
(b) K. 595 III, Cadenza, bars 11–16



Paradigm:



Example 56: (Continued…)
(c) K. 450 I, Cadenza, bars 9–12



Paradigm:

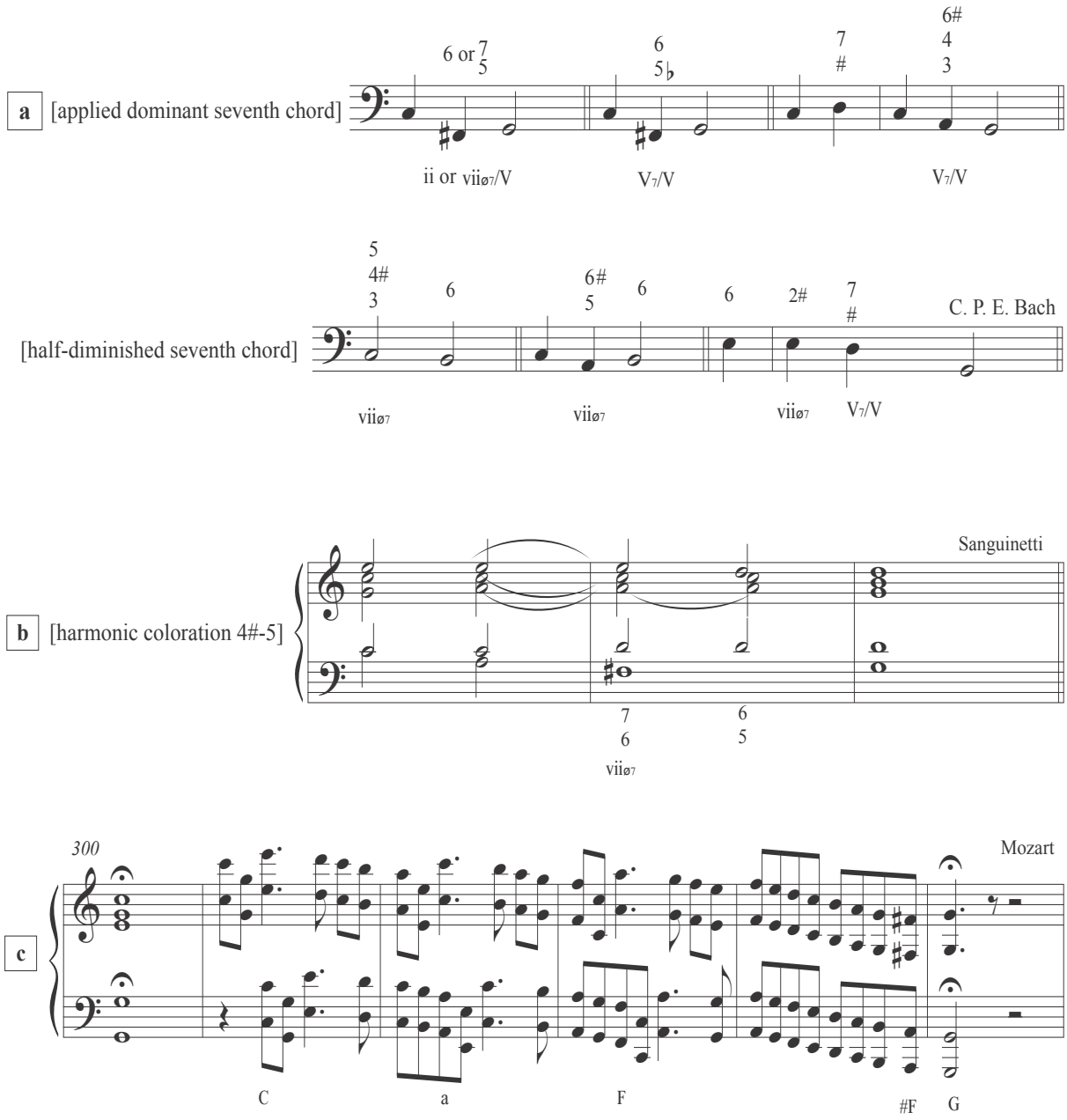
Bassline Moves from I–V

When the bassline moves to the dominant, two techniques often employed in Mozart's fantasias for building musical tension and guiding harmonic directions are the use of seventh chords and a scale mutation.[22] According to C. P. E. Bach, the bassline that moves to the dominant from the leading tone is "one of the beauties of improvisation to feign modulation to a new key through a formal cadence and then move off in another direction…[it] make a fantasia attractive."[23] Example 57a shows illustrations by C. P. E. Bach on a short tonicization of the dominant from a diminished-seventh chord and a scale mutation with the bass falling by thirds,[24] as illustrated by Sanguinetti in Ex. 57b.[25] It is worth noting that the diminished-seventh chord,

[22] Exercises on "Bassline Moves from I–V" refers to Mozart's Fantasy in page 83.
[23] Bach, *Essay on the True Art of Playing Keyboard Instruments*, 434.
[24] Bach, *Essay on the True Art of Playing Keyboard Instruments*, Fig. 473, 434.
[25] Giorgio Sanguinetti, *The Art of Partimento*, 158. The musical example Sanguinetti used was by Tritto.

when placed on the leading tone, plays an important role in the harmonic coloration and modulation. In the opening of his cadenza for K. 415, Mozart utilizes the scale mutation as in these instructions (see Ex. 57c)

Example 57: C. P. E. Bach and Sanguinetti, Harmonic Coloration, I – vii°^{7} (with inversions) – V

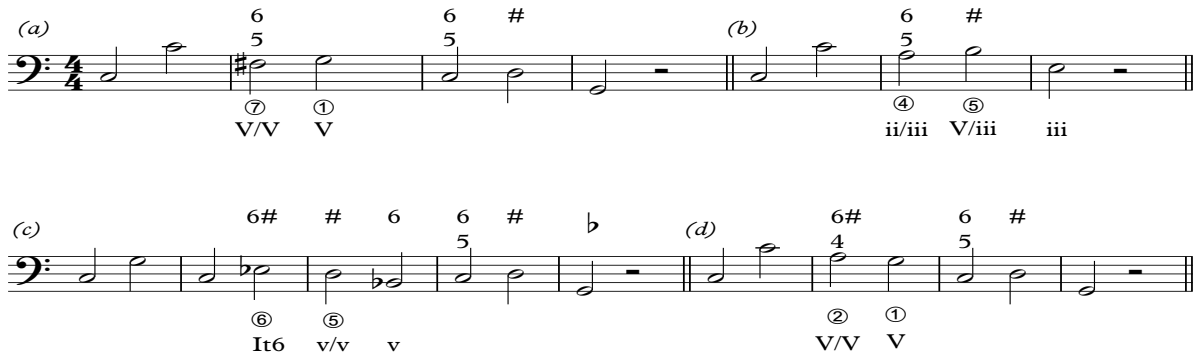


Sanguinetti defines such a temporary and local tonicization that confines itself to a few bars for a given moment as a "scale mutation."[26] He explains that the three factors work all together to achieve a convincing short harmonic change. These factors are:

> (1) half step motions in the bass (diatonic or, more often, chromatic)
> (2) diatonic bass patterns (cadences or cadential progressions, fragments of RO),[27] and
> (3) specific intervals in the accompaniment.[28]

Sanguinetti defines bass motion that induces scale mutations in Example 58; when the bass ascends by half step as shown in (a), the two-note pair in the minor second becomes $\hat{7}$ and $\hat{1}$ of the new key in the dominant. If the bass ascends by a whole step as illustrated in (b), then the two-note pair becomes $\hat{4}$ and $\hat{5}$ of the new key in the mediant. In example (c), the bass descends a half-step to form a minor second, and these become $\hat{6}$ and $\hat{5}$ in the new minor key, which moves to the dominant minor from the Italian augmented sixth chord. As in example (d), when the bass descends a major second (whole step), the two notes become $\hat{2}$ and $\hat{1}$ of the new key in the dominant.

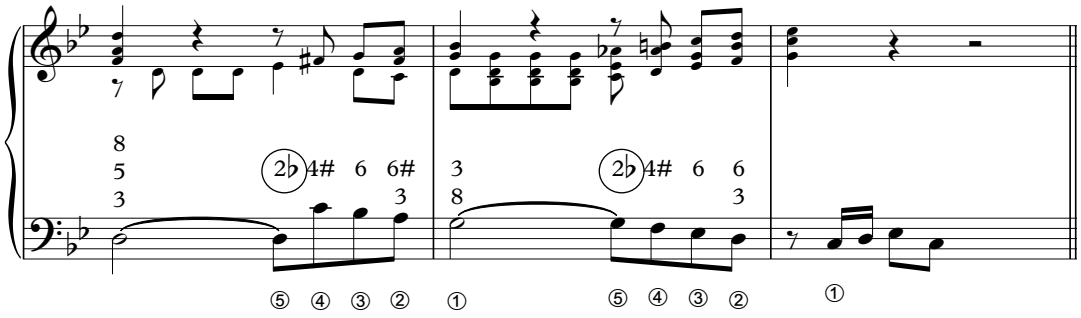
Example 58: Sanguinetti, Bass Motion Inducing a Scale Mutation[29]



[26] Sanguinetti, *The Art of Partimento,* 137.
[27] Sanguinetti refers to the 'Rule of the Octave' as the RO.
[28] Ibid., 159.
[29] Ibid., 160.

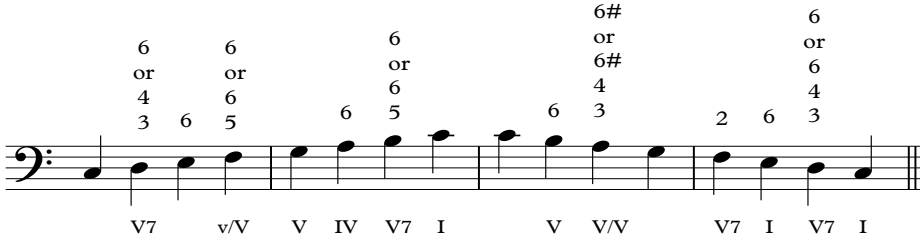
The "specific intervals" in the accompaniment that Sanguinetti mentioned earlier are the augmented fourth with the major second, minor second, and major sixth with a minor third.[30] Example 59 shows a scale mutation created using a minor second as shown by Sanguinetti, for which he uses Paisiello's example and explains that when a minor second is given to a bass note, the bass note become the beginning of a descending-fifth progression.

Example 59: Sanguinetti/ Paisiello, Scale Mutation Induced by a Minor Second



Sanguinetti mentions frequently that the stepwise scale motion in the bass mostly follows "the rule of the octave" for which he uses the abbreviation, RO. Example 60 shows a rough guide. Further discussion will come in Practice II.

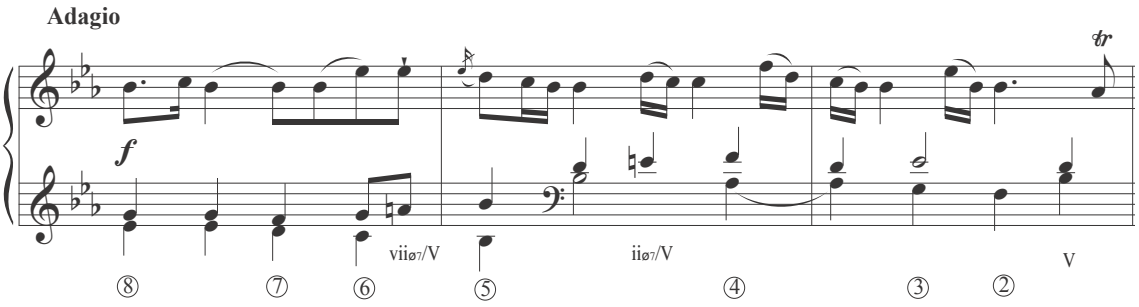
Example 60: A Rough Guide to the Rule of the Octave



[30] For further discussion on the expression of intervals, see Chapter Four, Table 3.

Composers in the eighteenth century still integrated the RO into their compositions. Mozart also wrote a little method book for thoroughbass that included the RO.[31] In the first movement of his Piano Sonata in E-flat Major, K. 282 (see Ex. 61) from 1775, for instance, Mozart employs the descending scale for the foundation in the bass at the beginning and the end of the movement.

Example 61: Mozart, Sonata in E-flat Major, K. 282, Adagio, Descending Bass, bars 1–3



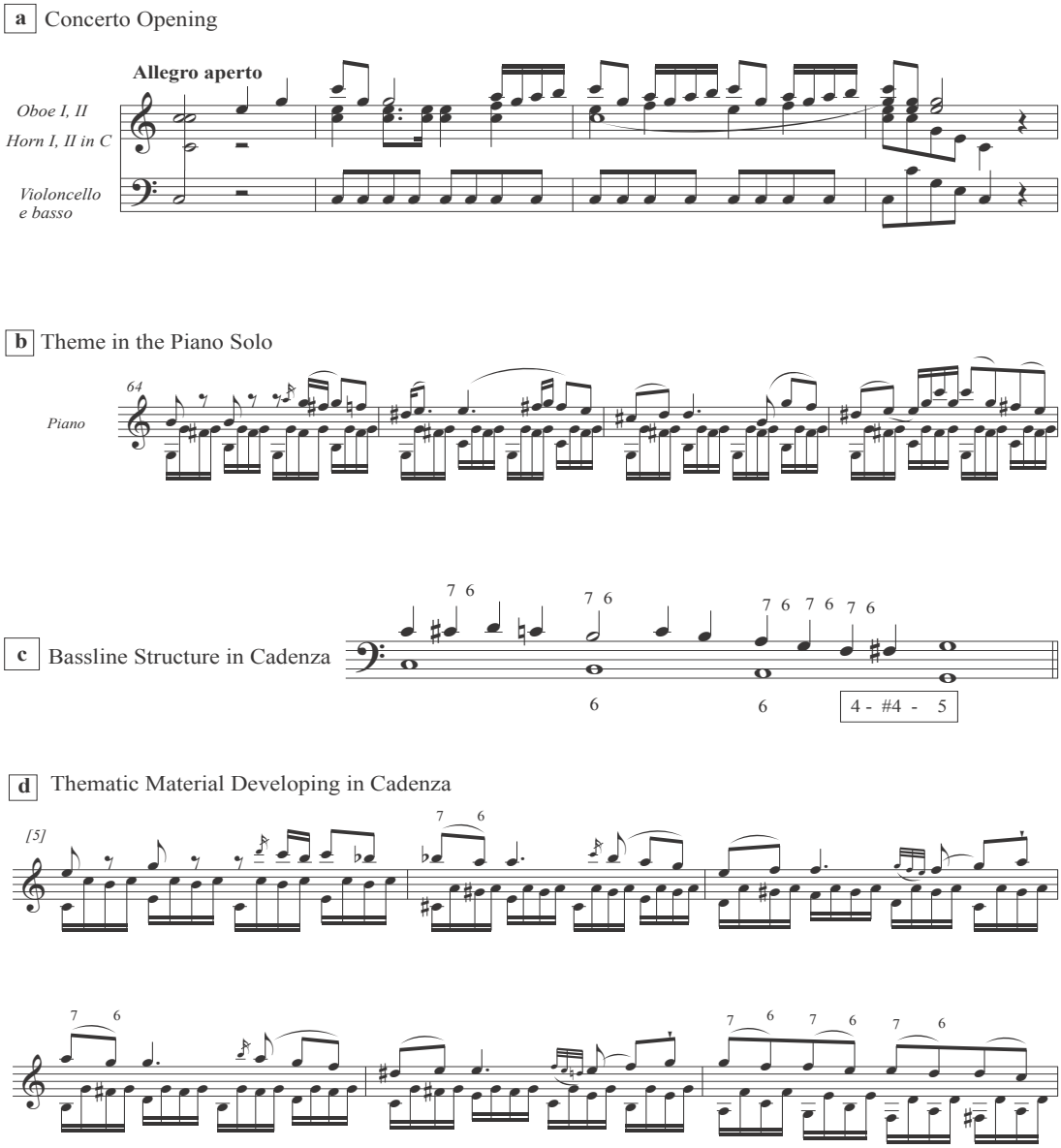
Bass Scale Mutation in Mozart's Cadenzas

To show the coherence of structure Mozart composed for his cadenzas and *Eingänge*, in this part of the practice study, the examples first display the opening theme in each concerto's first movement to show the spirit and effect Mozart wrote into the concerto (the concerto opening theme is shown in in Ex. 62a) and passages where ideas are later developed in the cadenzas (marked as Ex. 62b). Examples marked c, shows the analyzation of figured basslines, moving from I–V in descending motion, whose motifs are selected from the examples in b. Comparing these excerpts' examples shows how Mozart integrates bassline motion and develops his musical ideas in his cadenzas, particularly in the middle development sections.

[31]Wolfgang Amadeus Mozart and Samuel Gödbé, *Mozart's Practical Elements of Thorough-Bass,* (New York: J. Patelson Music House, 1976).

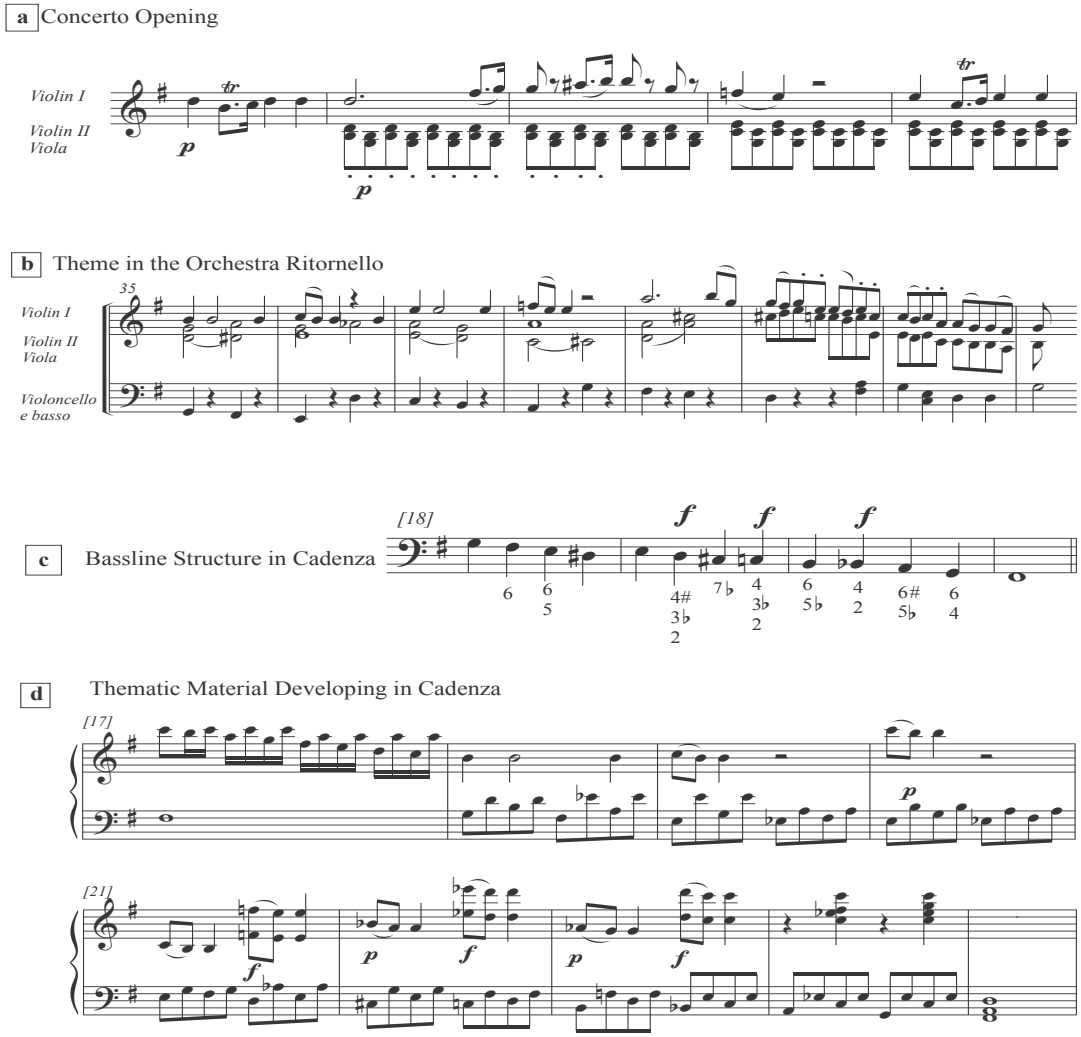
The motive from the theme in the concerto K. 246's first movement, bar 64, cadenza C is framed by a descending tetrachord (marked in whole notes in Ex. 62c). This bassline is decorated by semitones, followed by a 4 –(♯4) – 5 motion to the dominant.

Example 62: Mozart, Piano Concerto in C Major, K. 246 I, Excerpt, Motivic Development in Cadenza
(a) Concerto Opening Theme
(b) Motive in the Second Theme, bar 64
(c) Cadenza, Bass Structure, bars 5–8
(d) Idea Developing in Cadenza C



The selected motif in one of the cadenzas in Concerto K. 453 in G major, the cadenza C (see Ex. 63), is framed by three groups of thirds in the bass, which are formed by whole tones and semitones in descending motion. The elaborated dissonances are emphasized by a *forte* dynamic in the cadenza (see Ex. 63d).

Example 63: Mozart, Piano Concerto, K. 453 I, Excerpt, Motivic Development in Cadenza
(a) Concerto Opening Theme:
(b) Motive Selected from Second Theme, bars 35–39
(c) Cadenza, Bass Structure, bars 18–25
(d) Idea Developing in Cadenza C, bars 17–24

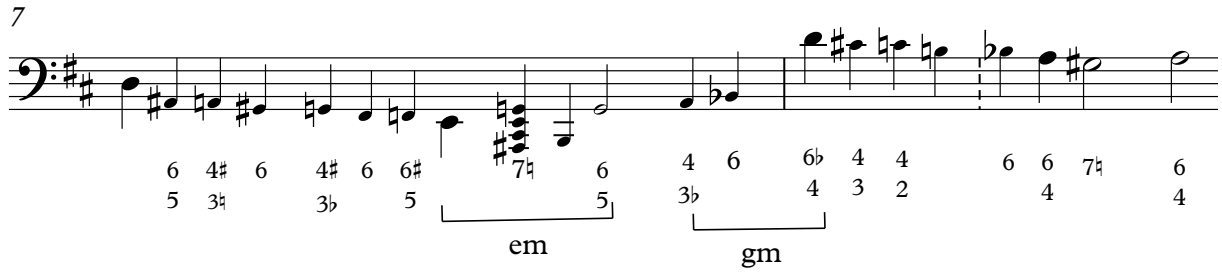


Chromatic Bassline in Mozart's Cadenzas in *Piano Concerti*

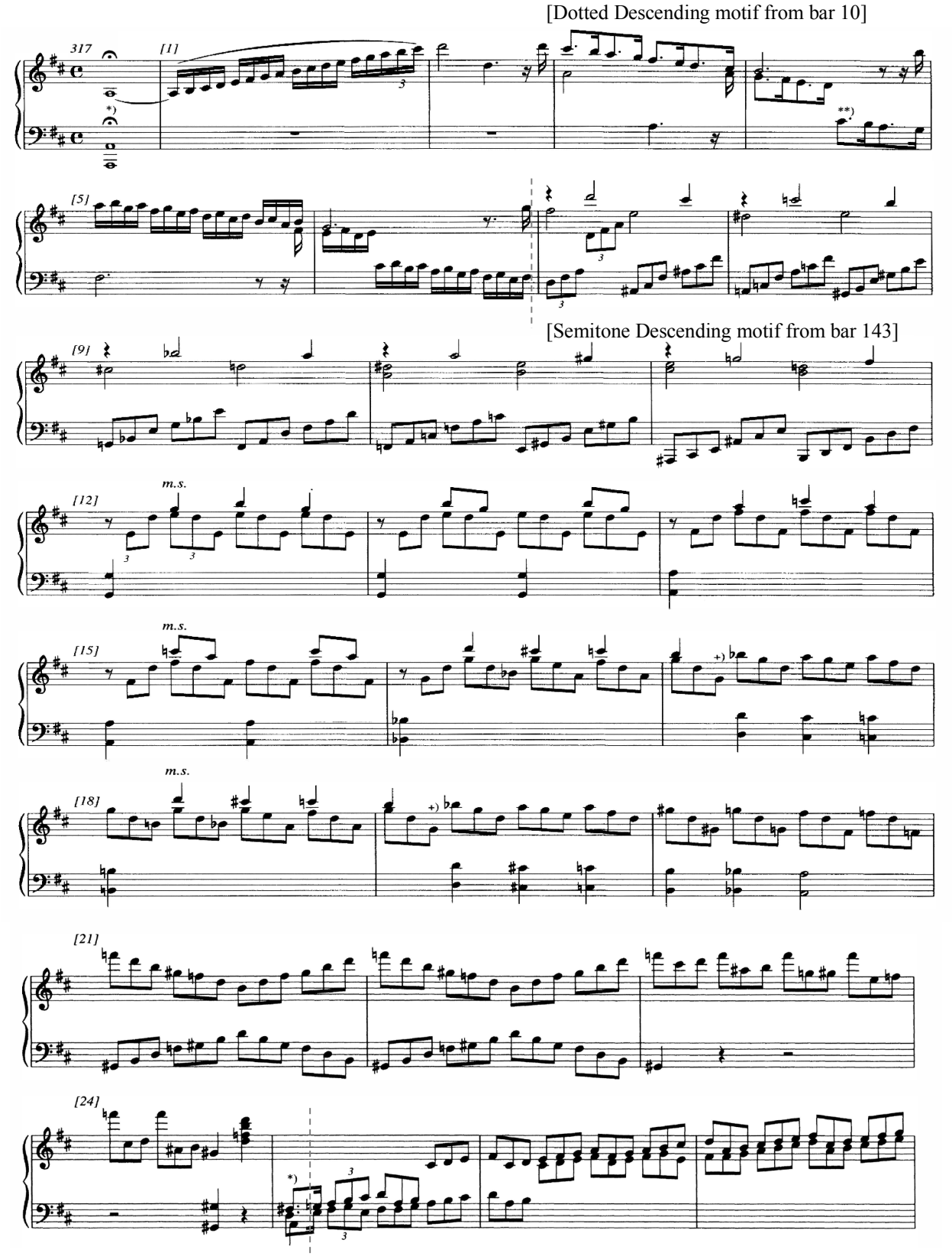
The use of chromatic basslines in Mozart's *Eingänge* and cadenzas often reflects the *stylus fantasticus*. The cadenza in the first movement of Mozart's Piano Concerto in D Major, is an example of how Mozart incorporates idea development and integrating compositional techniques to create an excited cadenza using chromatic descending motion and sequential formulas.

Descending basslines in chromatic motion appear frequently in the first movement of Mozart's Piano Concerto in D Major, K. 451. In the movement's cadenza, the whole middle section shows an extended embellishment according to the descending semitone motif adapted from bar 143. The chromatic bass and the arpeggiation in triplets creates a capriccio effect, like those in the free fantasia (see Example 64a).

Example 64: Mozart, *Concerto,* K. 451, First Movement, Cadenza
(a) Bass Analysis, bars 7–25
(b) First Movement, Cadenza, bars 7–25



Example 64b: Mozart, Piano Concerto in D Major, K. 451, First Movement, Cadenza, bars 7–25



Practicing figured bass assists improvisation in Mozart, especially in the sequential development, cadential progression, and expression using harmonic dissonance that are often used in his toccata and fantasia style. Although Schenkerian analysis helps to outline voice leading and harmonic structure, figured bass practice further contributes to a performer's toolbox and enhance formulization with stylistic norms from the eighteenth century so that he can react immediately to inspiration and create appropriate improvisatory gestures.

CHAPTER SIX:
INTERPRETING IMPROVISATORY ORNAMENTATION

During this time period, beyond the written out melodic ornamentation, it was presumed that performers would add their own improvised embellishment. Türk addresses the subject of embellishments and elaborations, saying that a performer's ornaments, "used with insight, taste, and selection, can contribute much to making a composition more beautiful [and this] cannot be denied."[1] For example, in Mozart's *Eingänge* and cadenzas, embellishments are the main ingredient for an improvisatory passage.

Chapter Six discuss eighteenth-century musical language, it's essential harmonic and melodic structure, and examines how to recognize embellishment on the printed page, as well as where and how to add ornamentation. Becoming acquainted with the modes of ornamentation will enable one to appreciate more the coherent, aesthetically pleasing, and attractive musical compositions and aid the performer in creating sensitive and appropriate musical gestures.[2] Using examples of visual art from the Rococo period, this chapter looks beyond definitions of ornamentation, and considers contemporary aesthetic values and practices, which influenced composers and provided them with the tools and ideas for incorporating ornamentation into their music.

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[1] Daniel Gottlob Türk, *School of Clavier Playing*, trans. Raymond H. Haggh (Lincoln: University of Nebraska Press, 1982), 310.

[2] This chapter will focus on improvised ornamentation and how to use Mozart's signature ones when improvising his *Eingang* and cadenzas. The execution and definition on written-out ornamentation, see: Frederick Neumann. *Ornamentation and Improvisation In Mozart* (Princeton, N.J.: Princeton University Press, 1986).

Dissonance and its Expressive Qualities

As shown in the examples from Chapter Four, many ornaments started from the upper note[3] because they create dissonance against bass, just as suspensions such as 9–8, 7–6, and 4–3 could express tension and release. In works from the Baroque period, certain interval combinations could represent specific affects. Johann Philipp Krinberger, a pupil of J. S. Bach from 1771–1779, discussed the relationship between the intervals and their expressive qualities. Kirnberger describes a perfect fourth as calm and content, while the diminished fourth creates melancholy or an anxious feeling, and the augmented fourth (or tritone) seems desperately sad.[4] He also mentions that a leap of major seventh is tremendously frightful, whereas the minor seventh is frightful/dreadful, and the diminished seventh is lamenting, sorrowful, and disappointing. Table 3 listed his descriptions of dissonance.[5]

In recitative style, unprepared dissonance can often be used as an effective musical paint brush to express emotion. This can be heard in Barbara Strozzi's cantata, *Lagrime mie, a che vi trattenete* when the word "dolore," meaning grief or sorrow, is stressed.[6] Likewise, dissonant suspensions often coincide with a descending Phrygian tetrachord, or the lament bass, which resembles sobbing in the singer's voice in this particular piece.

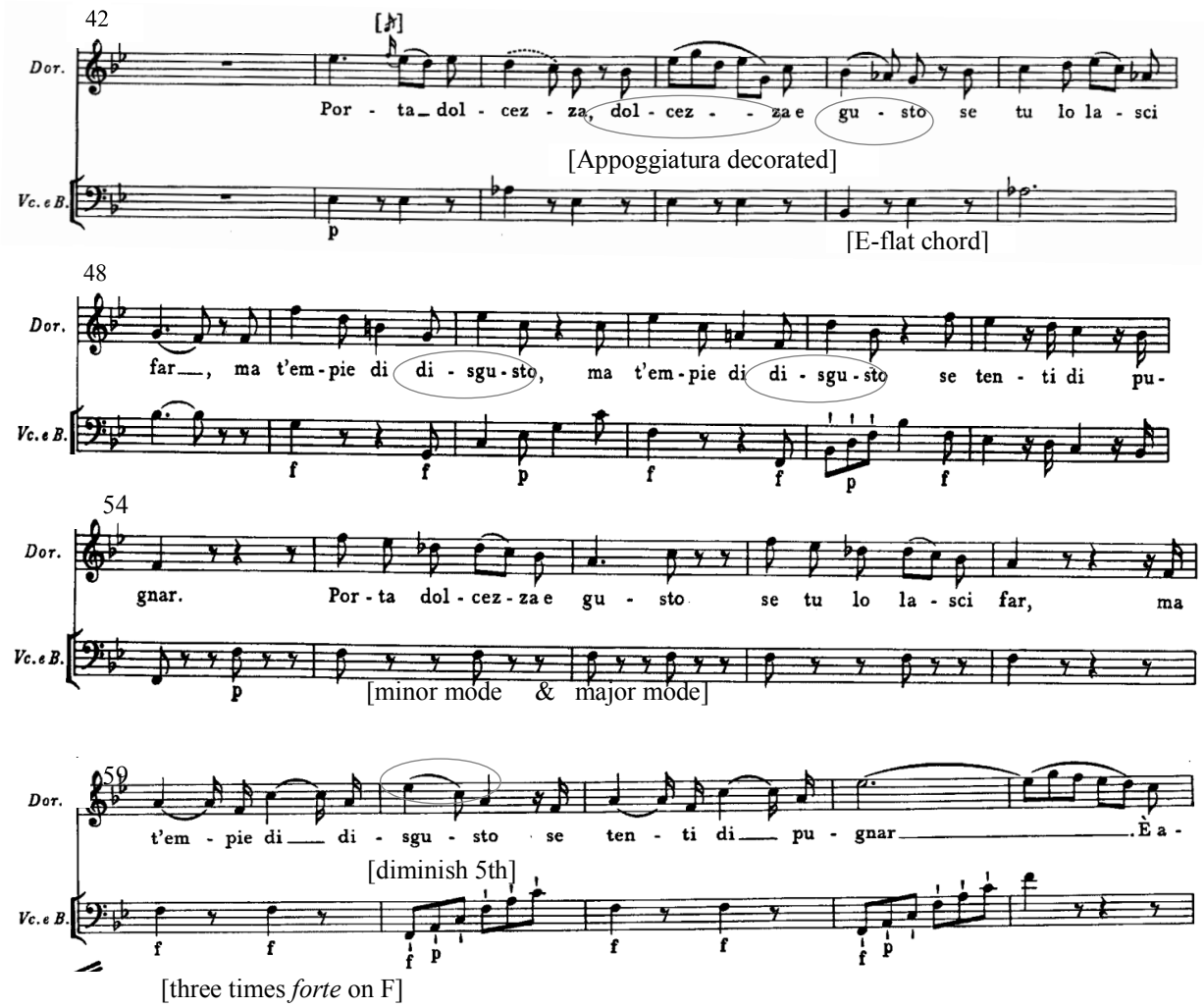
[3] See the earlier discussion on Chapters Four and Five regarding the influential genres and figured bass practice for Mozart's improvisation.
[4] Comparing to Mozart's Modulation Prelude KV deest mentioned earlier, however, the augmented forth is provocative and disturbing.
[5] Johann Philipp Kirnberger, *Die Kunst des reinen Satzes*, translated by David Beach and Jurgen Thym, *The Art of Strict Musical Composition,* intro. and explanatory notes by David Beach (New Haven: Yale University Press, 1982), 373–374.
[6] Barbara Strozzi, *Lagrime mie, a che vi trattenete*, from cantata *Diaporti de Euterpe Overo*, Op. 7 (Venice: Apresso Francesco Magni, 1658), bar 10.

Table 3: Expression of Intervals by Johann Philipp Kirnberger

	Major/Perfect	Minor (small)	Augmented or tritone	Diminished
2nd	pleasant, but pathetic	sad	Yearning	
	Serious, soothing	pleasant	Plaintive, tender, caressing	
3rd	joyful	sad, melancholy		Very melancholy, tender
	Pathetic, also melancholy	Calm, moderately cheerful		
4th	Calm, content	Happy	Intense	Melancholy, plaintive
		Calm, content	Desperately sad	anxious
6th	Merry, vehement, intense	Imploring, caressing		
	Rather timid	depressed		
7th	Intense, raving, desperation	Tender, sad, indecisive		painful
	Tremendously frightful	Rather frightful		lamenting

The use of dissonance to delay the consonant note is provocative in many ways depending on the context and is effective in portraying more than one meaning. W. A. Mozart often uses dissonance, intervals, and modes to shape and project his words, thoughts, and characters as in his opera *Così fan tutte*, which was first performed in 1790. In Act II of the aria "*È amore un ladroncello*" (Love is a little thief), shown in Example 65, Mozart speaks of love's ability to bring sweetness and pleasure if one lets it and disgust if one fights it ("Porta dolcezza e gusto, Se tu lo lasci far, ma t'empie di disgusto, se tenti di pugnar"). He uses slurs and long appoggiaturas to decorate the lyrical melody on the words of sweetness (dolcezza) and taste (gusto) on an E-flat chord. Then, a change occurs with the word unpleasant or tasteless (disgusto) from bar 49: the harmony touches on the minor mode, and the orchestra is marked *fortepiano* on the downbeat. When the word is repeated for the second time in bar 52, Mozart articulates the bass with an accented stroke.

Example 65: Mozart, "È amore un ladroncello" from *Così fan tutte*, Act II, Scene 10, bars 42–63



In the second refrain from bar 55, the word *dolcezza* appears in a minor mode, a move that infuses sweetness with sadness. When the word *disgusto* occurs on an imploring diminished fifth and the music is on the word *pugnar* (to fight), the bass is emphasized three times with a *forte* dynamic while the orchestra emphasizes the downbeat with an accent. The exchange of major and minor mode, the trading of motives, the juxtaposition of dissonance and consonance and the musical pulse supported by the dynamic marking, work together to create the musical drama.

These affective musical devices were considered both learnable and teachable, analogous to the mathematical and rhetorical-linguistic aspects of music theory that lay in figured bass practice. During the course of the eighteenth century, the idea of personally experiencing the affections, or *Empfindsamkeit*, became more widespread. Johann Mattheson (1681–1764), who emphasized the affections and rhetoric as a disciplined approach to composition, contended that "mathematics is the heart and soul of music; that all changes in emotion, as are produced through singing and playing, have their basis merely in various superficial relationships of the note."[7] Understanding ornamentation and the emphasis created by dissonance and its expressive qualities will aid present-day musicians to use appropriate harmonies and phrasing when improvising, in order to achieve the desired effect.

Appoggiatura

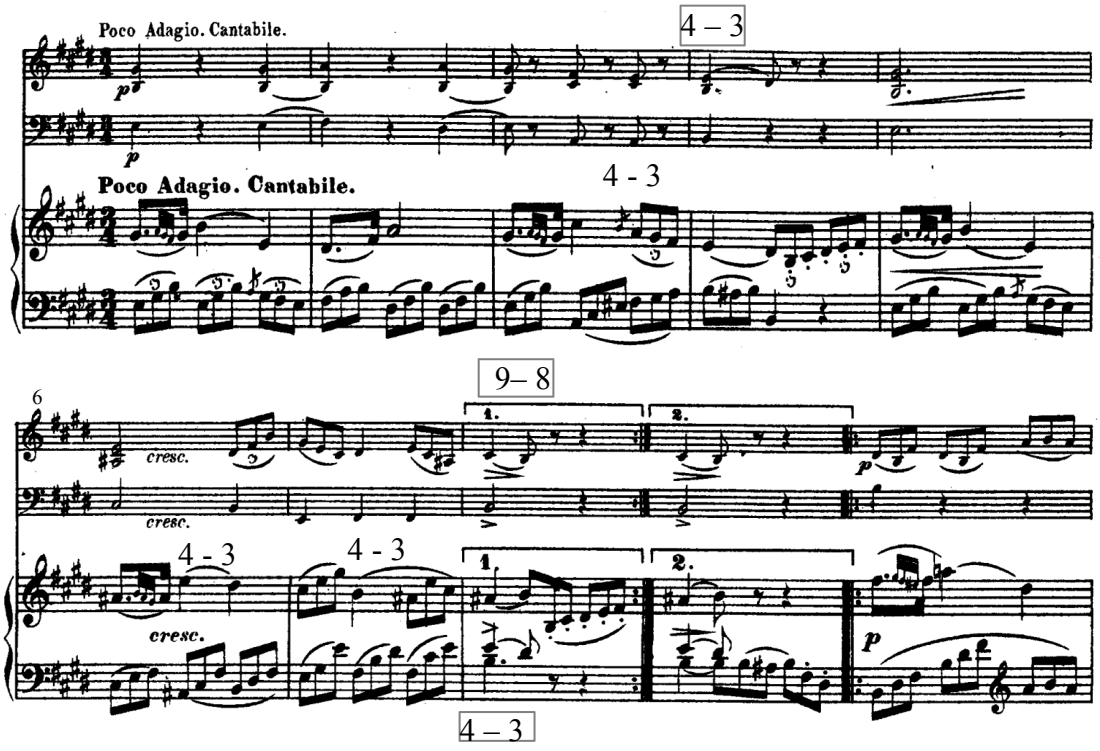
The ornament that was most often used was the appoggiatura, and it effectively expresses movement from dissonance to consonance. In Italian, the root word *appoggiare* means "to lean." Hence, the appoggiatura is an embellishment that starts out being performed on a divergent path from the piece's harmony, but gradually "leans" into the melody. The use of appoggiature, which often creates suspensions moving from dissonance to consonance, can be understood both in the harmonic structure that articulates and inflects the phrase; and in the melody, for which it expresses a desired effect, especially in cantabile passages.

The Appoggiatura is used for punctuation of phrases and cadences; the suspensions moving from a 9– 8, 7– 6 and 4– 3 are often used on three occasions in Classical-era

[7] "Mathesis ist eine menschliche Kunst; Natur aber eine Göttliche Krafft," in Mattheson and Harriss. *Johann Mattheson's Der Vollkommene Capellmeister,* 46.

compositions.[8] First, they were employed as a means to shape a phrase at a cadence. For example, a voice containing a 9– 8 suspension could be added to the 4– 3 for a richer harmony, and sometimes the added voice turns the 4– 3 function into cadence point; that is, a $\frac{6}{4} - \frac{5}{3}$. Example 66 illustrates use of the appoggiatura in the Adagio from Haydn's Piano Trio in G Major, Hob. XV: 25, where the four-measure phrase ends with a the 4– 3 in bar 4 (marked with a rectangular box in the example).[9] In bar 8, Haydn adds an outer voice containing a 9– 8 with the 4– 3, adding the intervallic sixth for a richer texture and a more harmonious sound on the phrase ending.

Example 66: Haydn, Piano Trio in G Major, Hob. XV: 25, II. Adagio



[8] Besides being used for resolution of dissonance to consonance, the appoggiatura was also used for other less distinguished occasions, for instance, from 6– 5 or 8– 7.

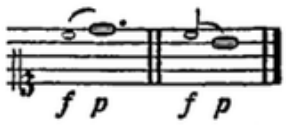
[9] The structural appoggiatura is marked with rectangular boxes around them in the examples, whereas the melodic ones don't.

Appoggiatura in Cantabile Style

The melodic appoggiatura is favored in cantabile passages. As shown in Example 66 above (marked with no rectangular box), the appoggiatura which is the dissonant fourth above the bass, it is being used for a desired effect, either by sustaining a long note, on the quarter notes in bars 6 and 7, or elaborating melody as a brief passing note in bar 3.

In his 1787 essay, C. P. E. Bach indicated that appoggiaturas are "louder than the following tone and [require the] presence of a slur"[10] (as shown in Example 67). Thus, to properly perform this gesture, the dissonant appoggiatura should be emphasized while the resolution should be tapered and gentle.

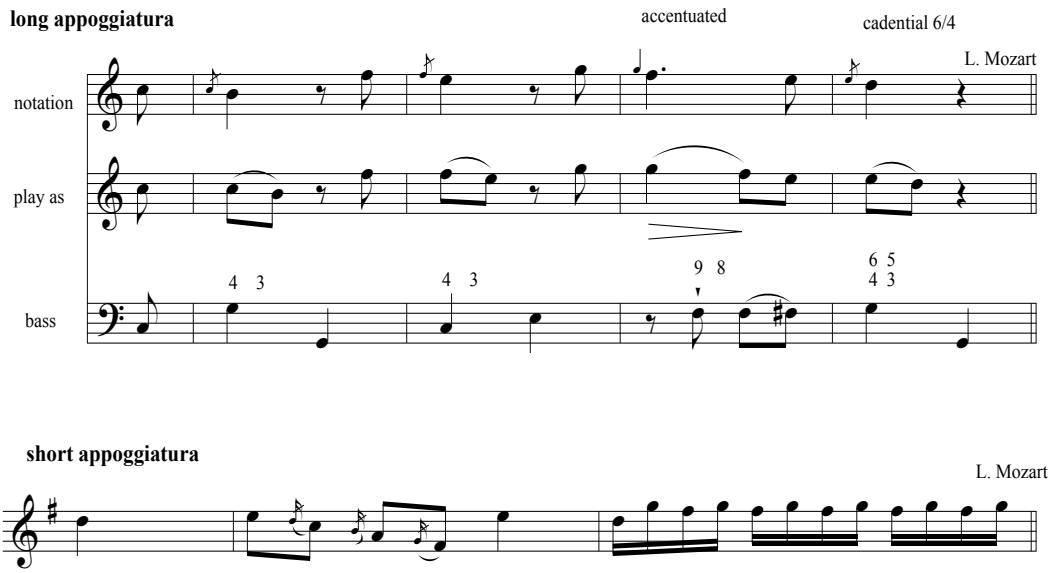
Example 67: Appoggiatura Illustration from C. P. E. Bach's *Versuch*



Leopold Mozart further explains the appoggiatura by dividing its length (as illustrated in Example 68).[11] The long appoggiatura is often accentuated on downbeats, and it should be worth half the value of the following note. The short passing appoggiatura's stress falls on the principal note (instead of on the appoggiatura), and it should be played as softly and rapidly as possible. These are smaller notes that occur before the main ones and are connected with a slur. Leopold Mozart stated that appoggiaturas should always be taken in the same stroke in one slur, therefore, "naturally making a melody more song-like."[12]

[10] Mitchell, *Essay on the True Art of Playing Keyboard Instruments*, 88.
[11] Mozart, A *Treatise on the Fundamental Principles of Violin Playing*, examples combined from page 167 and 172.
[12] Mozart, *A Treatise on the Fundamental Principles of Violin Playing*, 166.

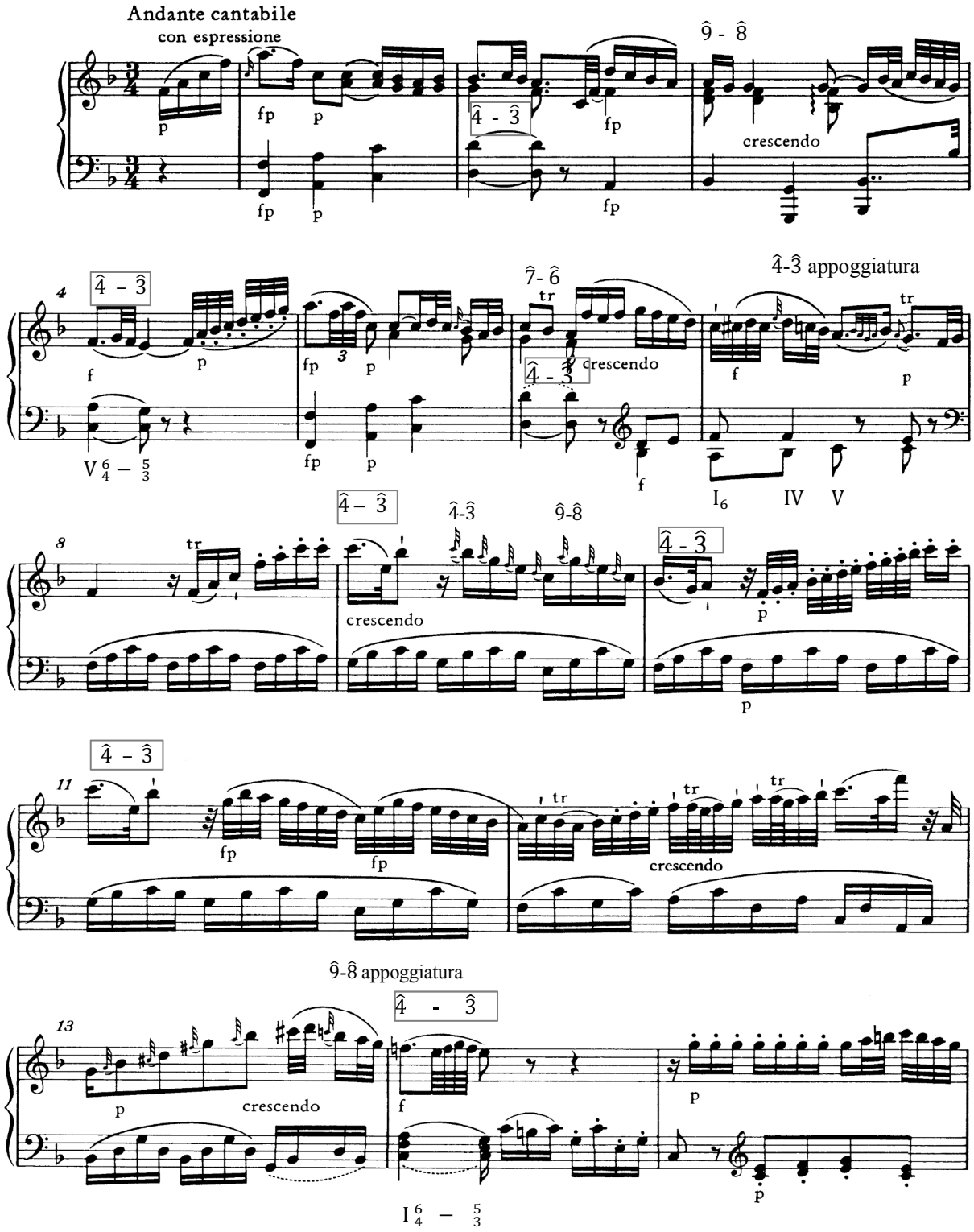
Example 68: Explaining the Appoggiatura from Leopold Mozart's *Versuch*



W. A. Mozart also frequently marked his musical phrases with 4–3 suspensions, especially in the inner voices—tenor and alto—to serve as a cadential point with the six-four resolving to five-three ($\frac{6}{4} - \frac{5}{3}$). In the second movement of Mozart's Piano Sonata in A Minor, K. 310, the appoggiatura articulates a cadence point (see Ex. 69, the structural appoggiatura is marked with rectangular boxes around them, whereas the melodic ones). A cadential six-four ends the first phrase on the dominant of bar 4 as well as on the ending of the first section in bar 14. Besides serving as punctuation, dissonances emphasize expressive ornaments, especially the appoggiatura, as shown in bar 7 with a 4 –3and in bar 13 with a 9 –8. As mentioned earlier, the short passing appoggiaturas, as in bar 9 and bar 13, should be "played as light and soft as possible."[13]

[13] Ibid., 171.

Example 69: Mozart, Sonata in A Minor, K. 310, II. Andante Cantabile, bars 1–15

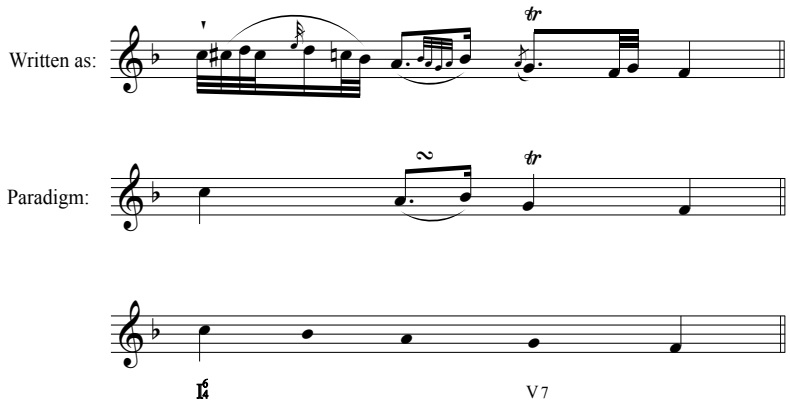


Deciphering Ornamentation in the Harmony and Melody

Different types of written-out ornamentation serve different expressive functions as they articulate harmonic structures or express a melodic phrase. It is thus important to identify and define the different types, clarifying which ornaments best suit a specific moment, as well as the reason for highlighting those moments. This section aims to provide an understanding of the musical language of the eighteenth century's essential harmonic structure and melody by examining how ornaments were used in the main body of music, and how to recognize the already embellished notes and how to distinguish architectural structure from expressive gesture.

To illustrate, at the end of the first phrase in bar 7 of the Andante cantabile of Mozart's K. 310 mentioned above, there are many notes with small intervals and short durations. These notes are mostly embellishing a simple melody that is directed by an underlying harmony (see Ex. 70).

Example 70: Interpreting Ornamentation, Mozart Piano Sonata in A Minor, K. 310, Andante Cantabile, bar 7



Leopold Mozart believed that, "It is clear as daylight that a violinist must know well how to decide whether the composer has intended any ornamentation, and if so, what kind."[14]

[14] L. Mozart, *A Treatise on the Fundamental Principles of Violin Playing*, 179.

Mozart's statement reinforces the practice that instead of treating and playing every single note equally, the performer should be able to group and shape the written-out notes that might portray certain affects or be recognizable rhythmic or ornamental figures, for instance, those typifying specific dance genres.

The small intervals mingled with dissonances are best used in Adagio movements with a lyrical or melancholic character. Türk says that an Adagio must consist "not so much of intentionally added difficulties as of such thoughts."[15] Similarly, Quantz mentions:

> Just as a gay cadenza is formed from extended leaps and gay phrases interspersed with triplets and shakes…a melancholy one, on the other hand, consists almost entirely of small intervals mingled with dissonances…In this regard you must take particular care not to lapse into absurd mixtures and confusions of the gay and the melancholy.[16]

Quantz gives further clarification about what he means by a melancholy cadenza that contains "small intervals mingled with dissonances" (see Ex. 71). He initially writes "Ad" after the fermata which could refer to the original meaning: "*ad agio*", which means "at ease." Notes in this example of a slow cadenza consist mostly of written-out appoggiaturas and turns that merge well with dissonances. The harmony touches the Neapolitan sixth chord briefly on the D-flat. This corresponds with Quantz's statement that "the compass [harmonic range of the cadenza] of keys that may be touched upon is very narrow, and which in general are only supposed to sound like impromptu inventions."[17] A simplified melody is presented in Example 71, which uses ornament signs to replace the written-out notes, revealing a clear, simple melodic and harmonic structure.

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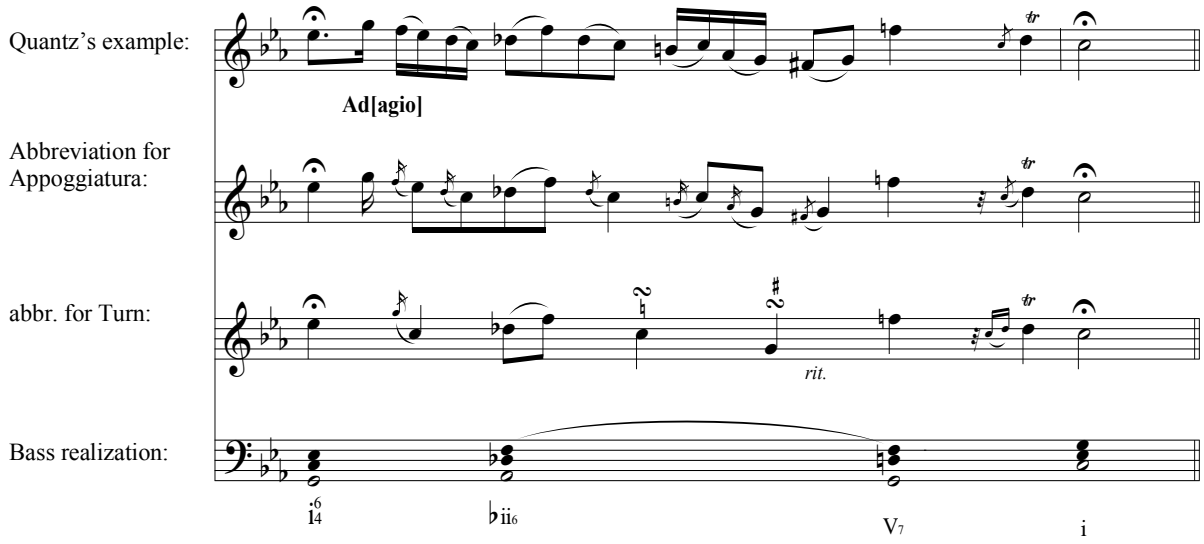
[15] Daniel Gottlob Türk, *School of Clavier Playing*, trans. Raymond H. Haggh (Lincoln: University of Nebraska Press, 1982), 299.
[16] Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen*, 184.
[17] Ibid., 182.

Example 71: Quantz, Musical Example for Illustrated Adagio in On Playing the Flute[18]



After examining and rearranging the small notes into phrases according to the harmony, a simple melody is revealed.[19] Thus, performers can learn from the written-out materials on ornamentation and practice how to decorate melodies accordingly.

An example of decorating simple melodies with diverse ornamentation can be found in Mozart's Piano Sonata in D Major, K. 284, specifically, in the third movement variation set, composed in 1775. In the eleventh variation, Adagio cantabile, the notation on separate staves within the score illustrates the differences between the autograph edition and the first printed edition by Christoph Torricella in Vienna (1784).[20] According to the editorial principles in the forward to their edition, Wolfgang Plath and Wolfgang Rehm in Augsburg and Salzburg explain

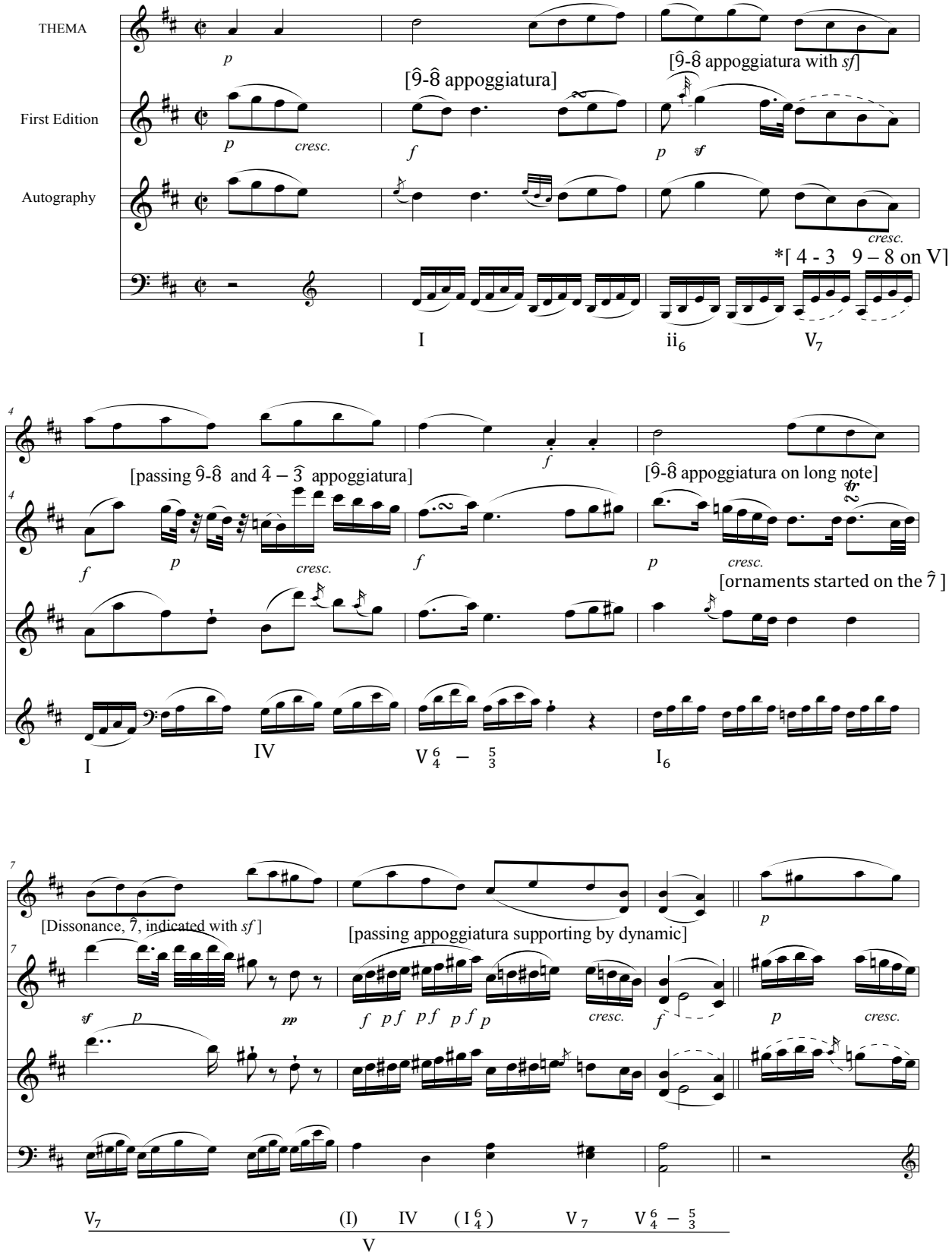
[18] Ibid., 185.
[19] The analytical technique used in Example 7 is based on the so-called augmentation, which is the opposite of diminutions or passaggi that divide notes into small values.
[20] *Neue Mozart-Ausgabe*, Serie IX, Werkgruppe 25, Klaviersonaten, Band 1 [NMA IX/251] (Kassel: Bärenreiter-Verlag, 1986), 71; 78-82.

the need for showing both autograph and the first printed edition together as a comparison between choice of ornamentation, which could be used in a variety of ways.[21]

Example 72 arranges the theme in a way that shows the simple melodies, comparing the first edition and the autograph edition. It shows Mozart's spontaneous use of ornaments with an astonishing level of dissonance on the strong beat where the appoggiaturas fall. For instance, the first edition shows written-out ornaments in bars 2, 3, and 6, where those appoggiaturas are either on the long or strong beats. For fast passing ornaments, Mozart uses dynamic markings to support the indication that the stress will fall on the main note of the harmony, as in bars 4 and 8. The use of dynamic indications to emphasize the strong beat is also consistent with the dissonance, as in bar 6, where the dissonant seventh is emphasized by adding ornaments like the turn and trill, or in bar 7, where the seventh is supported by a *sforzando* marking. The interpreter must know that each articulation requires a distinct emphasis, as seen in the differences of slurring on the third and fourth beat in bar 3. The two-note slur in the autograph version demonstrates expressive nuancing on 4– 3 and 9– 8 appoggiature on the dominant, making a crescendo to bar 4 on tonic. The appoggiatura is intensified by the crescendo and makes the dominant stronger. In the first edition, after the syncopated note G marked with a *sforzando* in bar 3, the four-note slur (with a dotted line suggested by the editor) follows with ease and the emphasis is on the high note A. In this way, the melody in the high register from G to A to B shows a clear outline that corresponds to the theme.

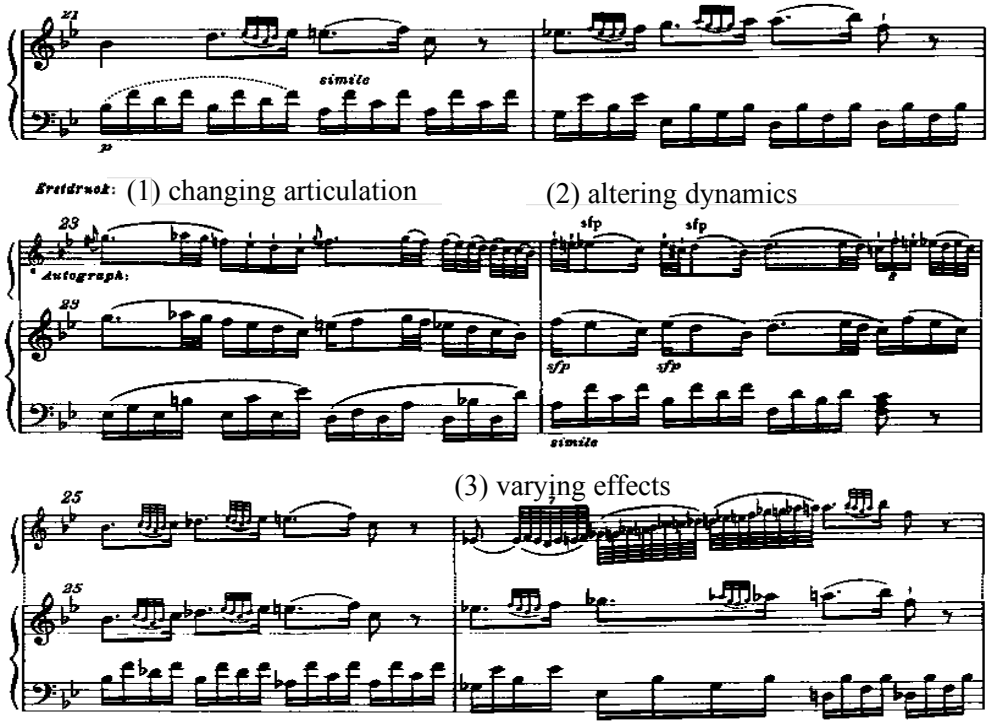
[21] Wolfgang Plath and Wolfgang Rehm explain that it was "under exceptional circumstances" that they both editions together. See: Wolfgang Plath and Wolfgang Rehm, Wolfgang Amadeus Mozart, *Keyboard Music Series IX*, Keyboard Sonatas vol. I, *NMA Online: Neue Mozart-Ausgabe: Digitalisierte Version = Neue Mozart Ausgabe: Digitized Version* (Salzburg: Internationale Stiftung Mozarteum., n.d.), Editorial Principal, XI.

Example 72: Mozart, Piano Sonata in D Major, K. 284, III. Adagio Cantabile, Var. XI



Another comparison between the autograph and first editions may be seen in the second refrain of the second movement in Piano Sonata in F Major, K. 332, presumably published in Vienna in 1784 (see Ex. 73).[22] This passage shows that adding an ornament is not the only way to improvise; rather, changing articulation, altering dynamics, and varying effects can also create ornamental diversity. Comparing this to the articulation in the first edition, the autograph has a more lyrical melodic line created by using simple connective slurs. In the first edition, Mozart reworks the musical effect by providing more active articulations, including added strokes and two-note slur appoggiaturas, as in bar 23. He also uses the dynamic marking *sforzando piano* to shift the heavy beat's stress and add passing notes, as in bar 24. In bar 26, the simple five-note ascending line is extended by an octave with chromatic scales to create tension.

Example 73: Mozart, Piano Sonata in F Major, K. 332 II. Adagio, Second Refrain, bars 21–28

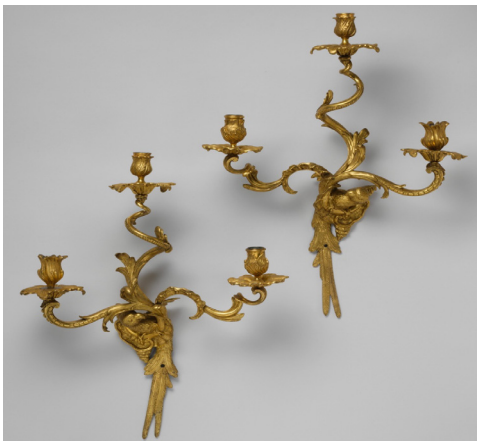


[22] The first printed edition was made by Artaria at Mozart's instruction in Vienna in 1784. See: Mozart, *Neue Mozart-Ausgabe*, edit. Wolfgang Plath and Wolfgang Rehm, tran. William Buchanan, Serie IX, Werkgruppe 25, Klaviersonaten, Bd.2 [NMA IX/25/2] (Kassel: Bärenreiter-Verlag, 1986), 35-39.

The Turn: One of the Most Beautiful and Usable Ornaments

In the previous example, the Adagio of Mozart's Piano Sonata K. 332 in F Major, the melody is highly decorated at the cadence point with a set of four short notes. These four short notes start with the note above the main note, followed by the main note itself (the seventh), the note below, then return back to the main note (). This scroll-shaped gesture is an ornament called a "turn" and was written out by the composer. The turn is signified by an S-shape on its side (∾). This curved shape is often used in eighteenth-century decorative art, as shown in Figure 18. The sconce's pronounced scrolling forms have been seamlessly integrated into a sinuous profile and epitomizes high Rococo design in the decorative arts. In music, Leopold Mozart believed that the turn is "without doubt one of the most beautiful and usable ornaments, by means of which the melody is given uncommon charm and animation. For this reason, the turn can be used in compositions of a tender as well as of a lively character, on legato or detached notes."[23] Thus, the turn is often used in a lyrical movement with a moderate or slow tempo to make the melodies more expressive.

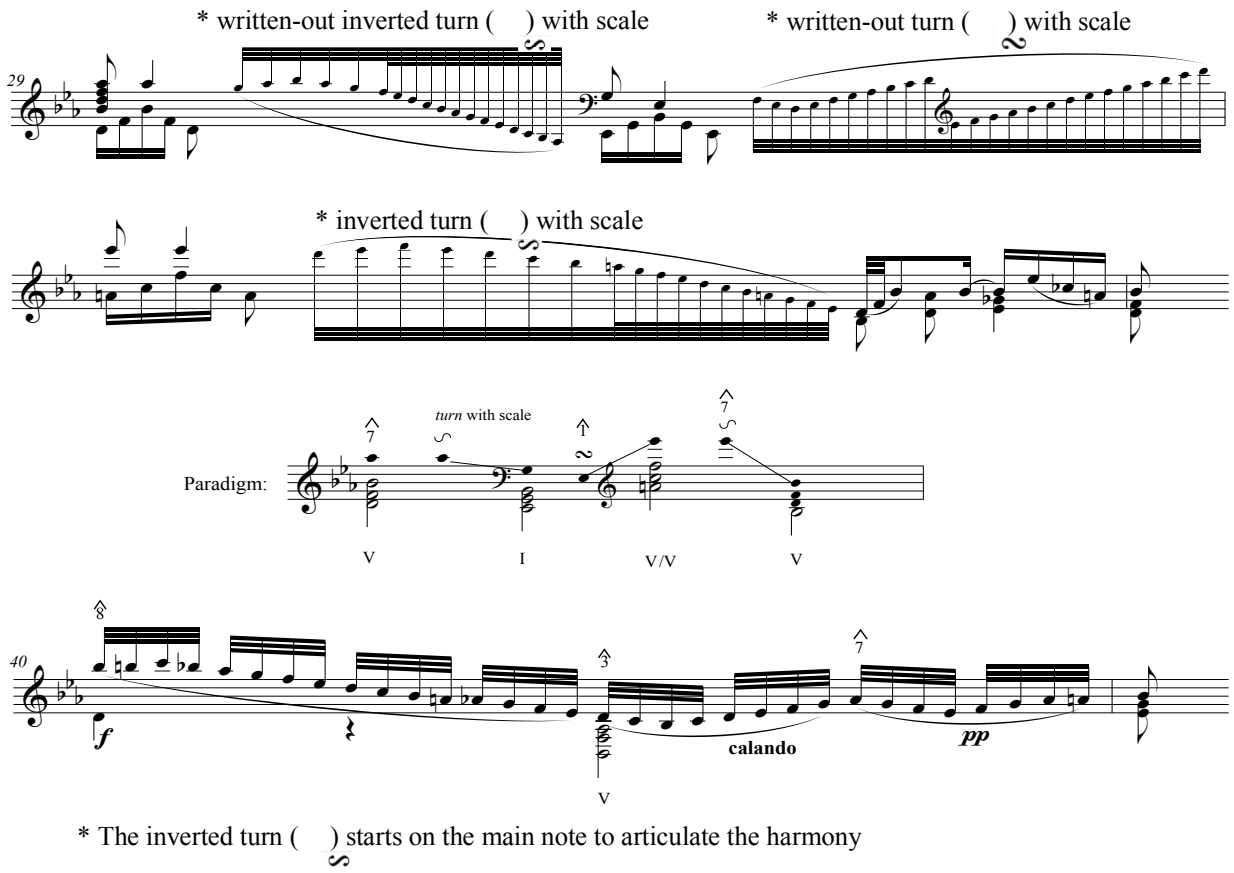
Figure 18: Eighteenth-Century Decorative Art Design, Casting and Chasing, Set of Two Three-Light Wall Sconces, ca. 1745–49[24]



[23] Mozart, *A Treatise on the Fundamental Principles of Violin Playing*, 36.
[24] "Casting and Chasing", attributed to Charles Cressent. gilt bronze, 57.2 × 40.6 × 19.1 cm. Accession Number: 1974.356.133-.136. Metropolitan Museum of Art.

W. A. Mozart also often employed turns as ornamentation when embellishing lyrical melodies. With objects in decorative art, the shapes of ornaments can be expanded, inverted, or combined; similarly, when improvising musical melodies, the written-out ornamentation can be altered accordingly. For instance, in the Adagio of his Piano Sonata in C Major K. 457, Mozart includes many connective scales starting with decorative turns (see Example 74). Mozart uses an inverted turn (∽), when the scale is descending in bar 29or when the turn begins on the note below the main note (lower note). Likewise, when the scale is ascending and the turn starts from the upper note, it is an ordinary turn (∾). The turn also often starts on the main note to better articulate the harmony and to emphasize the dominant-seventh chord, as in bar 49.

Example 74: Embellishment Enacted by a Turn in the Adagio of Mozart's Piano Sonata in C Major, K. 457

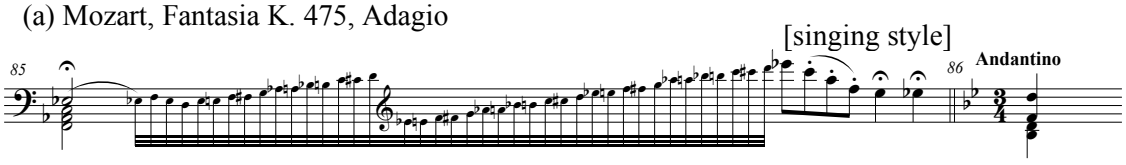


The first chapter discussed the *Eingänge* in Mozart's piano sonatas and how they can be divided into two parts: fast (tension) and slow (release). Mozart's Fantasia in C Minor, K. 475 (see Ex. 75a), and Piano Sonata in C Minor, K. 457 (see Ex. 75b), which were published together in 1785, share a common plan as both passages start with the brilliant style, which is presented with rapid ascending motion, and use either chromatic scales or major scales. The brilliant style is then followed by the cantabile singing style in the second half.

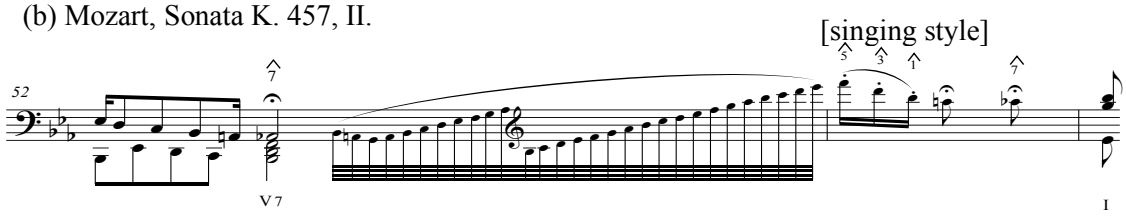
Example 75 shows the schema depicting tension (brilliant style) and release (singing style) in both *Eingänge*. Note that the openings of the rapid scales in both examples are decorated with a turn. The effect created from a scale prepared by a turn is a feeling of elegance during the energy gain gesture.

Example 75: Scale Embellished by a Turn in Mozart's Adagios

(a) Mozart, Fantasia K. 475, Adagio



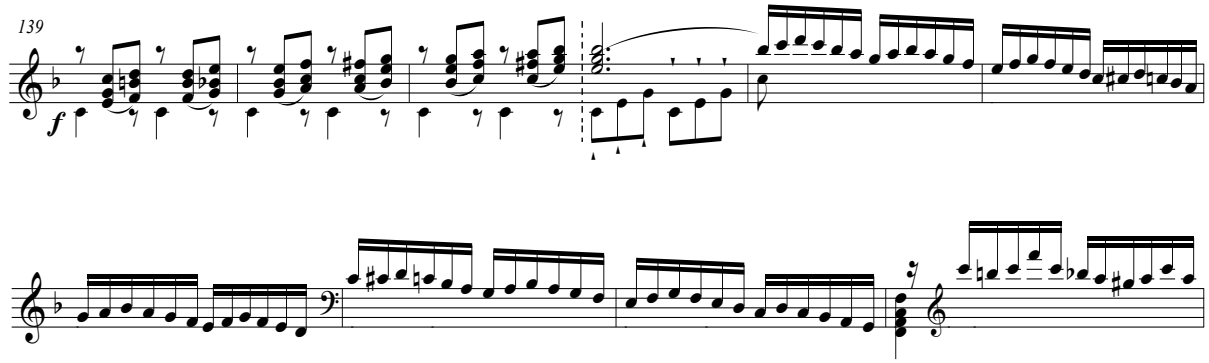
(b) Mozart, Sonata K. 457, II.



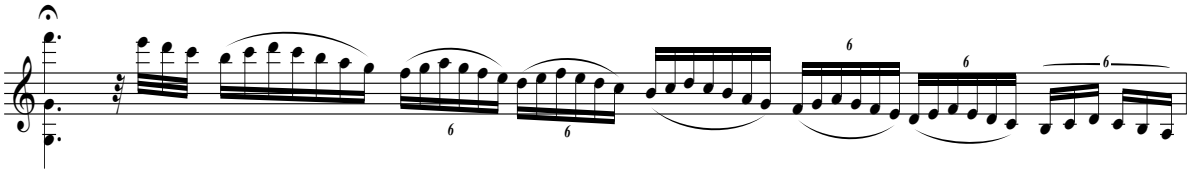
Another improvisatory ornamentation using the turn, is the main note inverted turn, which the turn starts on the main note. It provides an improvisatory connective link on the dominant seventh. Example 76 shows the improvisatory main note inverted in the third movement of Mozart's Piano Sonata in B-flat Major, K. 333 and the *Eingang* in the third movement of his Piano Concerto in C Major, K. 415.

Example 76: Improvisatory inverted turns

(a) Sonata in B-flat Major, K. 333, III. Allegro assai, Retransition-Connective Caesura Fill-Recapitulation



(b) Piano Concerto in C Major, K. 415, III. Rondo, First *Eingang*

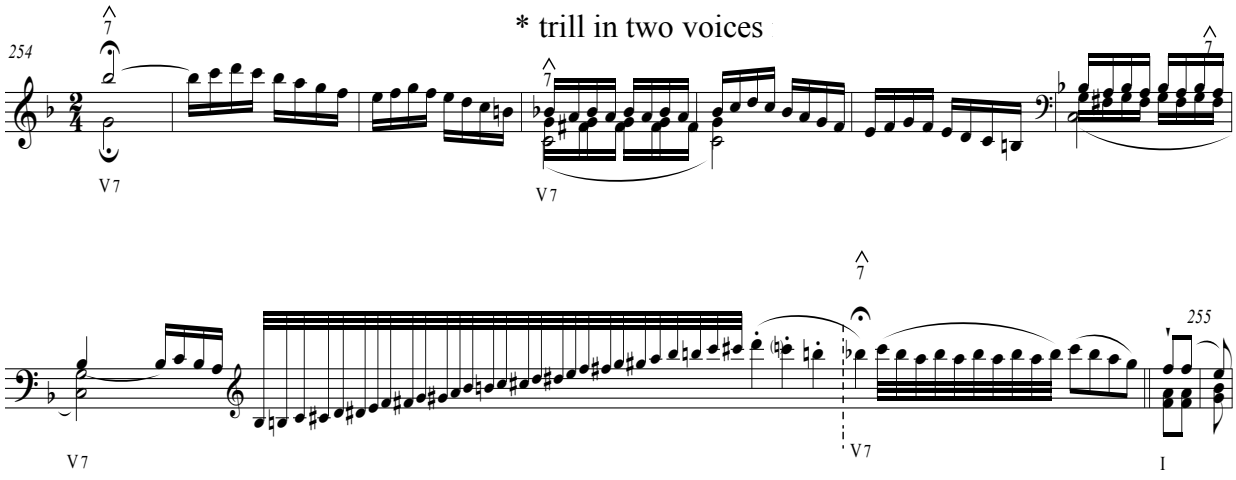


The character of the improvisatory main note inverted turn can be intensified by adding a trill or an octave as in the *Eingänge* of the third movement of the piano concerti K. 459 in F major and K. 595 in B-flat major. These inserted elements make the musical character more attractive and coherent. For instance, in K. 459 (see Ex. 77a) the added half-note trill in third, in both high and middle voices (in Ex. 77a, bar 257), on the dominant seventh note, B-flat, foresees

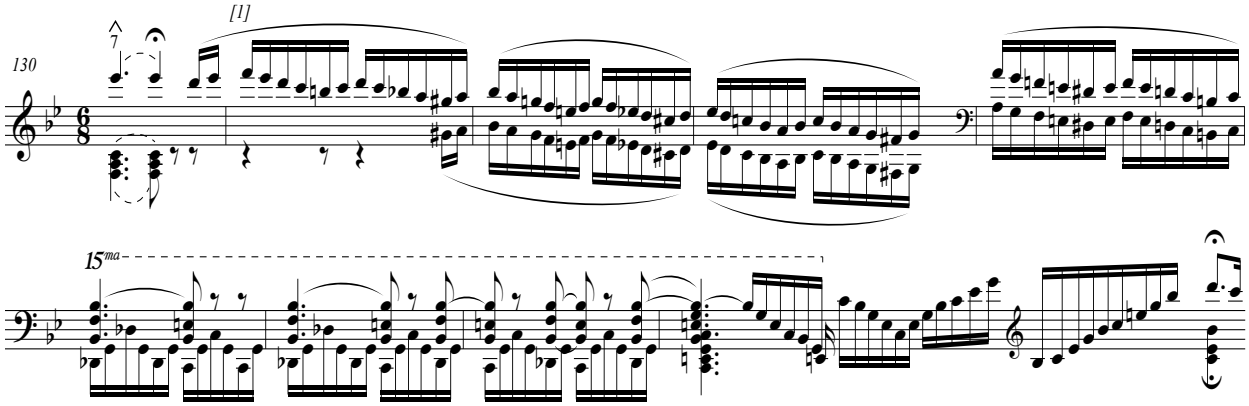
the turn with a subsequent chromatic scale. The chromatic scale sounds like a release from the tangled trill which repeats twice in different registers.

In the *Eingang* of K. 595 (see Ex. 77b), the use of octave for an inverted turn intensifies the interaction between the major and minor mode. The shifting between mode resembles its rondo movement, which contains a continued flirtation with the minor mode and an insistent preoccupation with the least stable part of the principal returning theme.

Example 77: Variation of Improvisatory Inverted Turn in Mozart's Piano Concerti
(a) Piano Concerto in F Major, K. 459, III. Allegro assai, *Eingang*



(b) Piano Concerto in B-flat Major, K. 595, III. Allegro, *Eingang*



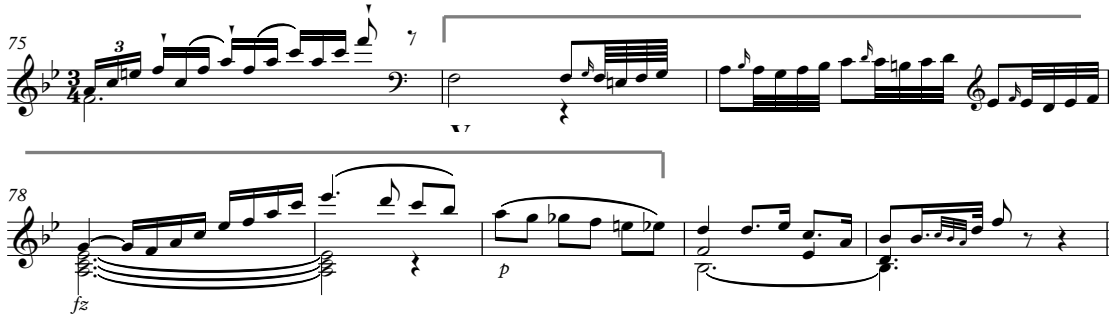
The elegant and cheerful effect made by the turn-embellished scale is followed by an energy-loss or cantabile style that corresponds to another juxtaposition of *chiaroscuro*,[25] which depicts an elegance, wit, and contrasting of light and shadow effect. When mentioning the Enlightenment's musical wittiness, one cannot exclude Joseph Haydn from the discussion.

Haydn, however; does not employ the beautiful melodic turn with scales as often as does Mozart. Instead of a smooth figuration with a turn, Haydn adds an appoggiatura at the beginning of the turn as shown in the caesura-filled passage in the second movement of his Piano Sonata in E-flat Major, Hob. XVI: 49 (marked with brackets in Ex. 78a). Only on special occasions does he express melodic lines with the turn, and it often appears in a more irregular pattern. A similar ornamentation occurs, as in Example 78a, but with a longer and unceasing phrase direction, as shown in 78b (marked with a dashed line), in his cadenzas from Piano Concerto in D Major, Hob. XVIII:11.[26] Haydn's leaps contain wider intervals than other composers'. Instead of employing a turn before launching into scales, Haydn just pauses on the note then directly starts the scale, as shown in the cadenza of his Piano Concerto in D Major, Hob. XVIII:11 (see Ex. 78c). The charms of Haydn's cadenza lay in his harmonic language. He validates the harmonic effect by using variations of rhythm and a diversity of figurations; sometimes these patterns are irregular and unexpected, as shown in 78d.

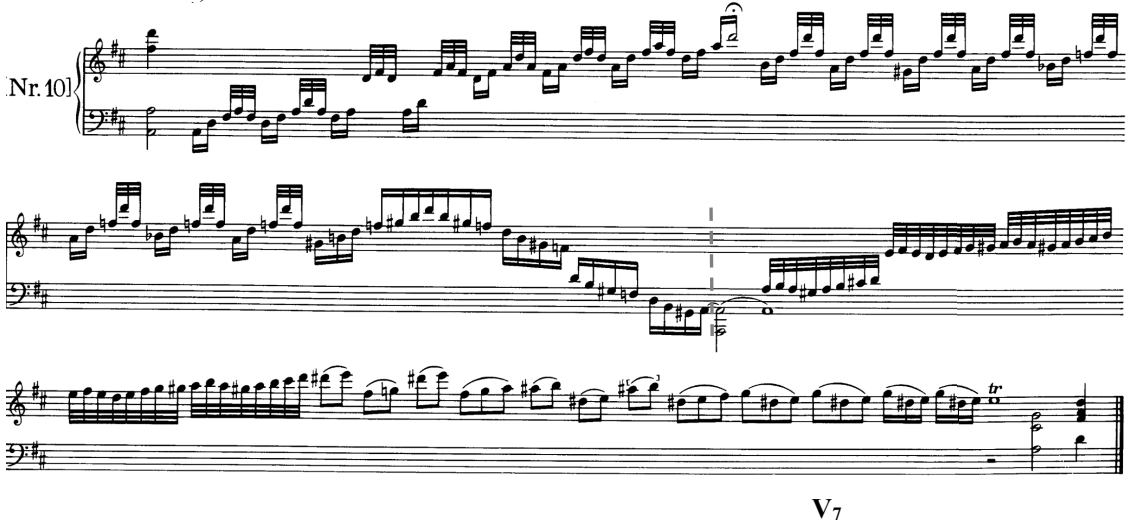
[25] For a discussion of *chiaroscuro* and how it relates to music, see Chapter One, pages 18.
[26] Joseph Haydn, *Konzerte Für Klavier (cembalo) Und Orchester*, ed. Horst Walter and Bettina Wackernagel (München: G. Henle, 983), collective cadenzas from appendix page 153.

Example 78: Haydn, Cadenza Passages in Piano Music

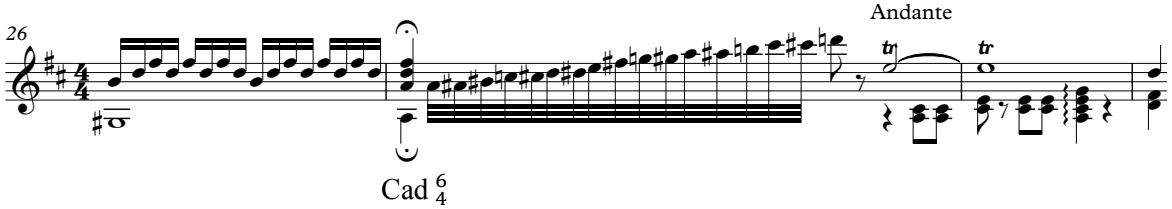
(a) Piano Sonata in E-Flat Major, Hob. XVI: 49, Retransition, Second Movement, bars 75–82



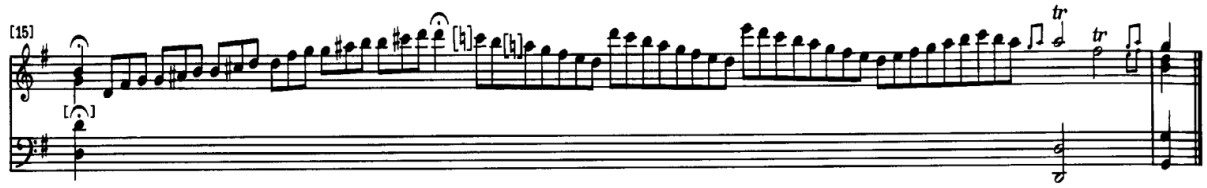
(b) Piano Concerto in D Major, Hob. XVIII:11, Cadenza No.10 (from a copy of Johann Nepomuk Hummel)



(c) Piano Concerto in D Major, Hob. XVIII:11, Cadenza Prima (from transcription in Strasbourg)



(d) Piano Concerto in G Major, Hob. XVIII: 4 (1770), Adagio, Cadenza

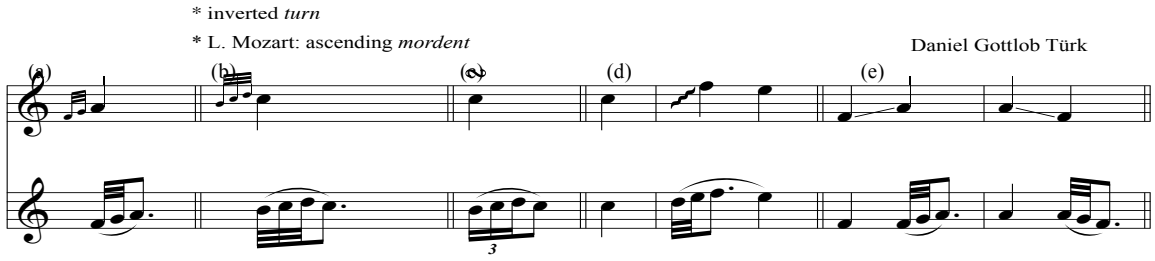


The Slide

The slide is another ornament that is frequently displayed in combination with improvisatory figuration. It creates a smooth connection between two notes that are a step apart without any of the intervening notes being distinguishable within the space filling the interval.

Example 79 shows Leopold Mozart's and Türk's explanations of the slide, which consists of either two or three short appoggiaturas written in small notes. When the three-tone slide is inverted in an ascending turn (see Ex. 79b and 79c), Mozart calls it an ascending mordent for its "vivacious"[27] character that needs to be played quickly and with vigor. However, when the musical character is sorrowful, Türk remarks that the slide's musical effect is "exactly like a turn in contrary motion,"[28] and consequently, this ornament should be performed weakly and slowly. The slide is frequently used to fill in thirds (see Ex. 79d and 79e), for which the passing note should be released after being played.

Example 79: Demonstrations of the Slide from Leopold Mozart and Türk



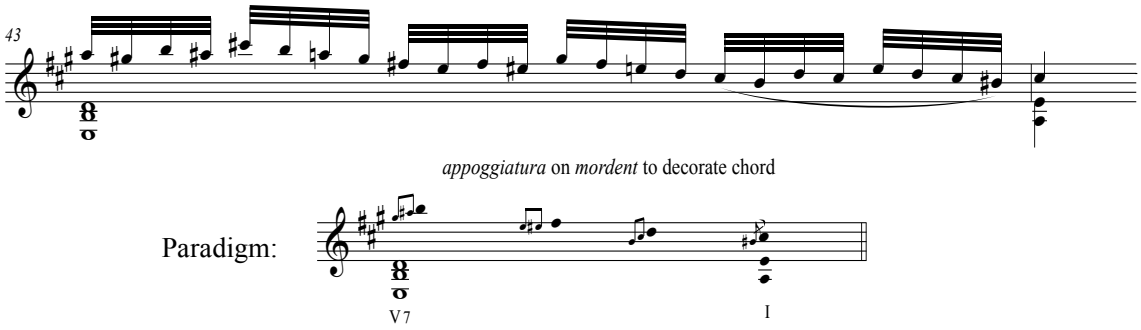
W. A. Mozart often writes out the slide in combination with the appoggiatura in passages with improvisatory gestures (see Ex. 80). In the retransition in both the second movement of K. 576 and the first movement of K. 333, the ornamentation containing the slide and appoggiatura

[27] Mozart, *Treatise*, 178.
[28] Türk, *School of Clavier Playing*, 239.

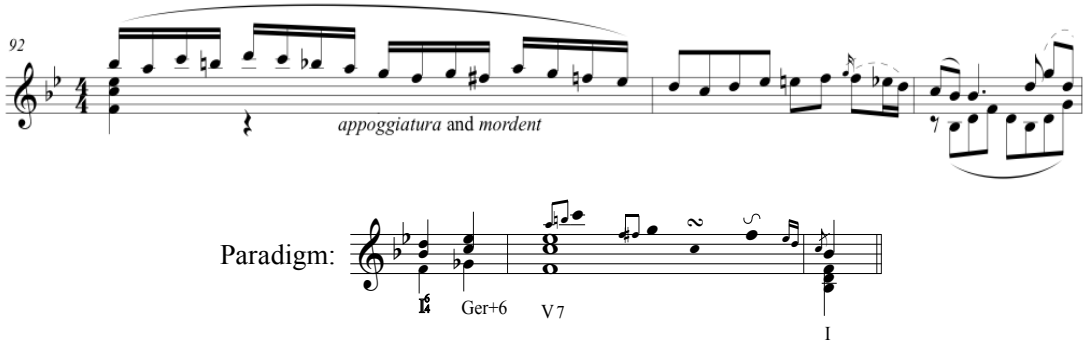
in the caesura-fill leads the development section back to the main theme with a graceful and lilting character. Mozart also elaborates this smooth and elegant figuration in the development of the second movement Andante of his Sonata in K. 545.

Example 80: Slide and Appoggiatura in Improvisatory Passages in Mozart's Sonatas

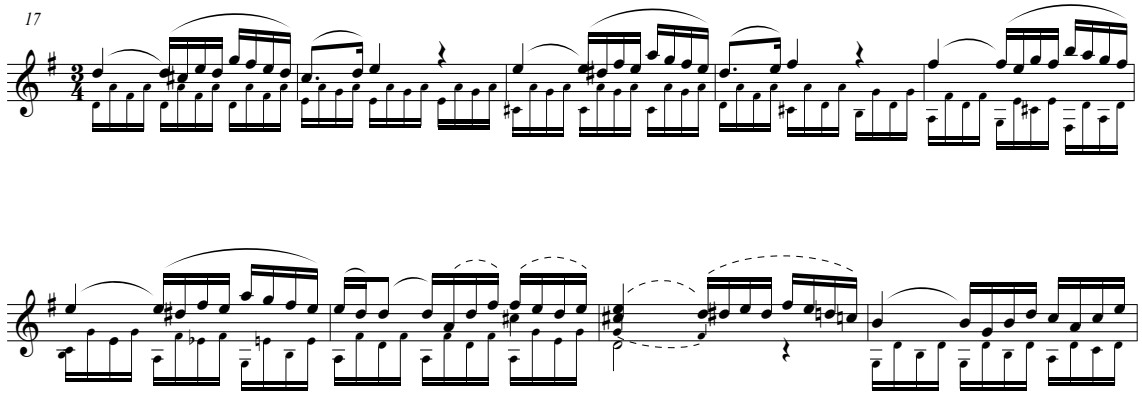
(a) Mozart, Sonata K. 576, II. Adagio



(b) Mozart, Sonata in B-flat Major, K. 333, I. Allegro, bars 92–94



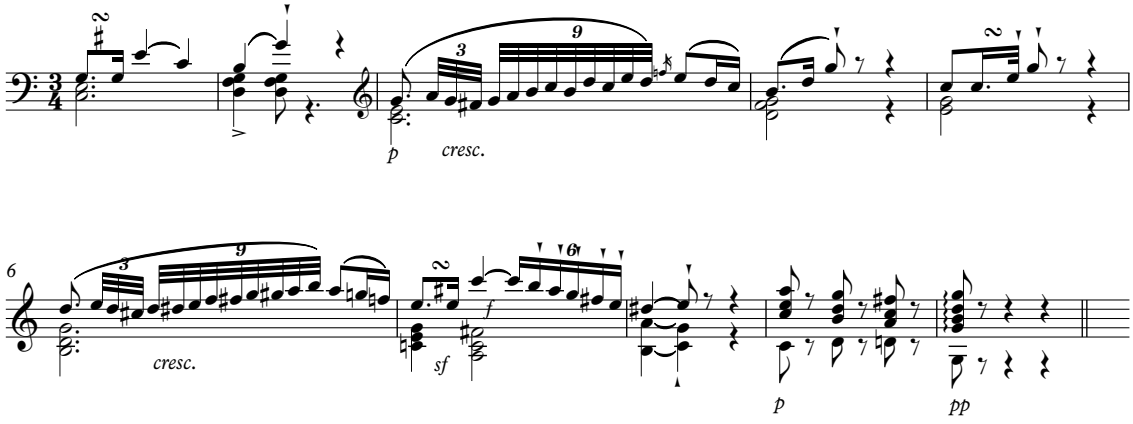
(c) Mozart, Sonata K. 545, II. Andante, development, bars 17–25



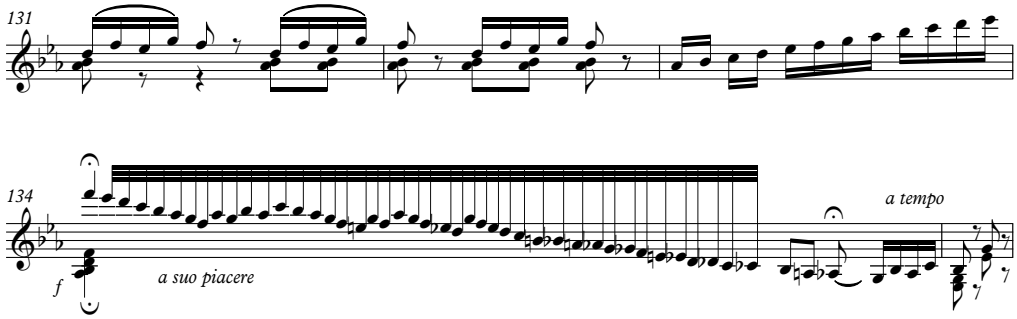
Haydn shows a different approach to using the compound slide and appoggiatura in his piano sonatas. Instead of continuing melodic lines with highly decorated ornaments, his expression is emphasized through rhythmic and harmonic effects, which can be compared to those of C. P. E. Bach. Example 81 shows the first movement's opening of his Sonata in C Major, Hob. XVI: 48, (1768/69), and the *Eingang*-like passages, which are marked *as suo piacere* (to play as one likes), in his Sonata in E-flat Major, Hob. XVI: 49, (1789–90). This example provides a glimpse into Haydn's improvisatory gestures that have more irregular rhythms, intervallic patterns and distinctive and unpredictable effects compared to Mozart's works.

Example 81: Improvisatory Slide and Appoggiatura within Haydn's Sonatas

(a) Haydn, Sonata in C Major, Hob. XVI: 48, First movement, bars 1–10



(b) Haydn, Sonata in E-Flat Major, Hob. XVI: 49, Retransition, First movement, bars 131–37



Mordent

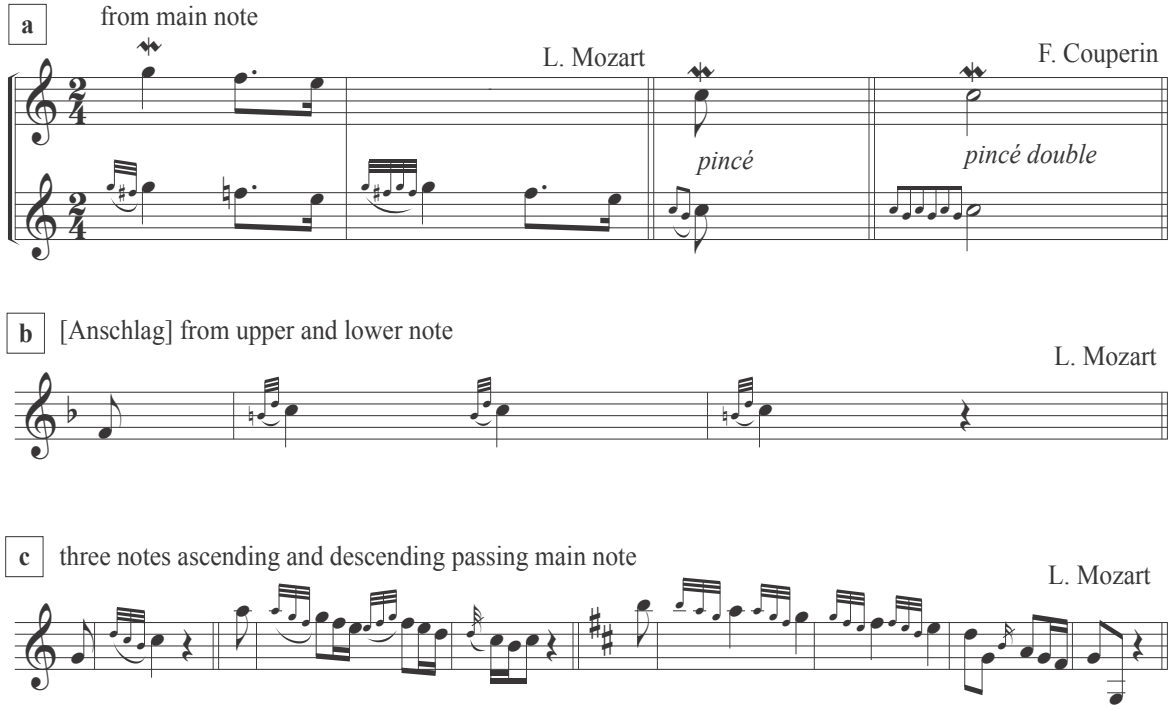
The word mordent derives from the word *mordere* in Latin, meaning "to bite." In the preface to *L'Art de toucher le clavecin*, François Couperin uses for this ornament the word *pincé*, which is the past participle of the verb "pincer", meaning "to pinch".[29] As Leopold Mozart describes it, "The mordent for the French pincé clings close to the principal note, quietly and rapidly 'bites,' tweaks or pinches the same slightly and at once is released again."[30] When the character of the music is vivacious, the mordent is to be played quickly.[31]

Mozart further defines mordents belonging to three categories shown in Example 82. The first comes from the main note, as a *pincé* (see Ex. 82a). The second type comes from the lower and higher neighbor notes. This kind of mordent figuration, in which two ornamental notes derive from the upper and lower main notes, is also called the *Anschlag* (see Ex. 82b).[32] *Anschlag* means attack in German and it shares the "biting" character that requires it to be played rapidly and crisply in a gentle way. In his treatise *L'armonico Pratico* in 1708*,* Francesco Gasparin describes the mordent as a bite that doesn't hurt too much[33] and Mozart states that one could call *Anschlag* the "courteous biters."[34] The mordent of the final category can be formed with three notes ascending or descending through the main note (as a turn). This third type of

[29] François Couperin, *L'art De Toucher Le Clavecin: Die Kunst Das Clavecin Zu Spielen. The Art of Playing the Harpsichord,* trans. Mevanwy Roberts. (Leipzig: Breitkopf & Härtel, 1933), 15.
[30] Mozart, *Treatise*, 206
[31] However, this ornament can also be used to sustain a long note like the *pincé double* or be played very expressively in slow movements when combined with a *port de voix*.
[32] Other theorists did not include *Anschlag* as a type of mordent as Leopard Mozart does in his *Versuch*. Frederick Neumann explains that the *Anschlag* is known as *Doppelvorschlag*, a double appoggiatura which double delayed the consonant. See: Neumann, Frederick. *Ornamentation In Baroque and Post-Baroque Music: With Special Emphasis On J. S.* Bach, (Princeton: Princeton University Press, 1978), 43.
[33] Francesco Garsparin, *L'armonico practico Al Cimbalo,* trans. Frank S. Stillings, edited by David L. Burrows, *The Practical Harmonist at the Harpsichord.* (New Haven: Yale School of Music, 1963), 80.
[34] Ibid., 207.

mordent consists of three notes, ascending or descending from the main notes; in the mordent turn, the descending ones usually sound better than the ascending ones (see Ex. 82c).[35]

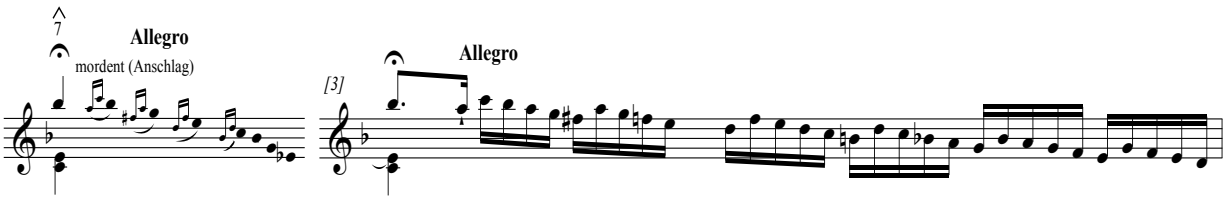
Example 82: Demonstrations of the Mordent from Leopold Mozart and François Couperin



Improvised ornamentation using the *Anschlag*, from the upper and lower note, can be applied to the similar pattern of improvisatory inverted turns mentioned above on a decorative descending scale. By using the mordent instead of a turn, the musical character shows more rapidity and crispness, as shown in the *Eingang* of the second movement in *Concerto,* K. 415 (see Ex. 83).

[35] The figuration of this third type of the mordent, as defined by L. Mozart can be confused easily with another ornament: the turn; however, it is worth mentioning that the character of mordent is better suited in a fast movement, whereas in a cantabile passage, the use of the turn is apt for beautifying the melody.

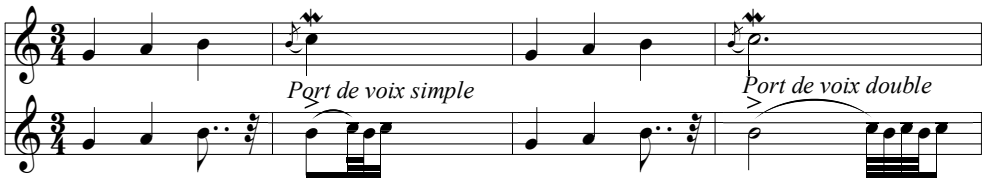
Example 83: Improvisatory *Anschlag* in Mozart's Piano Concerto, K. 415, Andante, *Eingang*



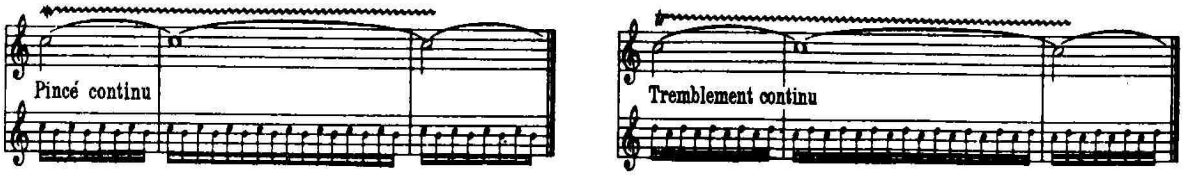
Each composer has a personal preference for how types of ornaments are combined, elaborated, and emphasized; however, all composers agree that ornamentation serves the same purpose of making music more persuasive. Many written-out ornaments are combined in a particular design and become a self-reliant union. One of the examples shows a gesture created by combining an accented appoggiatura and a *pincé*, which François Couperin called the *port de voix*[36] (see Ex. 84a) and J. S. Bach called "Accent und Mordant" (see Ex. 86.11). When the *pincé* is prolonged, it becomes the *pincé* double. (see Ex. 84b).

Example 84: Example of Compound Ornamentation from François Couperin

(a) appoggiatura and *pincé*



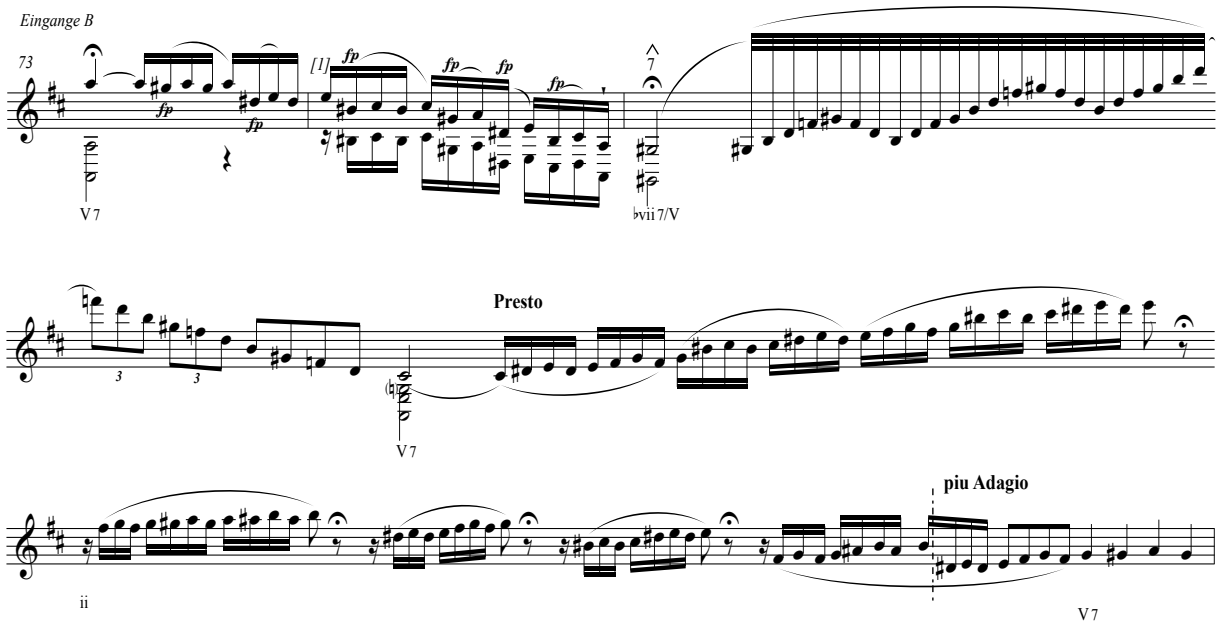
(b) *Pincé* continued and main note trill



[36] Couperin, *L'art De Toucher Le Clavecin*, 39.

Port de voix means carrying of the voice, and this technique exists in Mozart's improvisatory passages for which figurations are incessant yet constantly changing. He uses it the French term for it, and it suits his musical. For instance, in the second movement of his Piano Concerto in A Major, K. 414, Mozart uses *port de voix* as the motive throughout the beginning of his *Eingang* (see Ex. 85), which is supported by an accented dynamic marking and later modified using fragmentation. In the Presto, however, the *port de voix* motif continuously "carries voices" to the più Adagio.

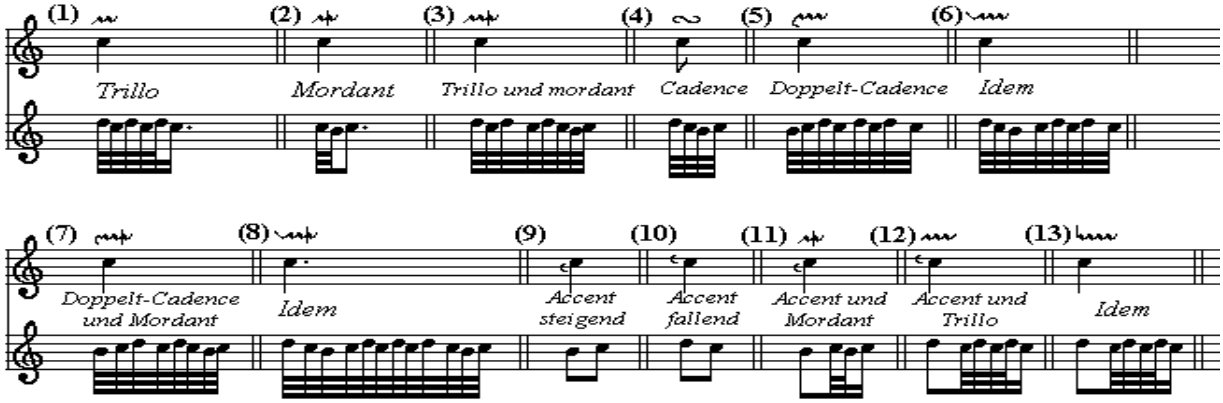
Example 85: Mozart, Piano Concerto, K. 414, II. *Eingang* B, Figurations Made of *Port de Voix*



Cadential Trill

According to François Couperin and Jean-Henri D'Anglebert in his *Pièces de clavecin*, when the mordent is extended, it becomes a trill (as mentioned in Ex. 84b). Although J. S. Bach uses different terms for ornaments, his table in his keyboard instructions written for his eldest son is based upon Jean-Henri D'Anglebert's (1629–1691). Here, the trill is called the *Trillo und Mordant* (trill combined with mordent)[37] as shown in Example 86.

Example 86: J. S. Bach, transcription of ornament table in his Clavier-Büchlein vor Wilhelm



A trill is known as a "shake," starts with the tone or semitone above it, and rapidly alternates between the main note and the expected resolution that ends with a turn, which is normally slurred. Couperin describes it thusly: "Although shakes are indicated by notes of equal value … they must nevertheless begin more slowly than they end: but this gradation should be imperceptible."[38] He further divides the trill into three parts: the sustaining and dwelling from the note above the principal note to the principal note, the fast and short repercussions, and the stop.

[37] Hilmar Trede and Johann Sebastian Bach, *Clavier-Büchlein Vor Wilhelm Friedemann Bach: Eine Auswahl Der Leichtesten Stücke* (Mainz: B. Schott's Söhne, 1943).
[38] Ibid., 17.

All these are played with arbitrary durations. [39]

The cadential trill[40] in Mozart's *Eingäng*e or cadenza movements that occurs immediately before the orchestra enters can be analyzed by dividing it into three parts, as François Couperin instructs his pupils on how to play the trill in his preface to *The Art of Playing the Harpsichord*.[41] The first part of the cadential trill, which originates from the upper note, allows the soloist to give an elegant introduction for the orchestra's preparation to re-enter. The dominant seventh chord confirms the gesture and enters during the second part of the cadential trill when repeated rapidly. The third part of the trill is the four-note turn at the ends and is also called the *Nachschlag*. The word *Nachschlag* means "after stroke," and it serves as an anacrusis for conducting the orchestra so that it may re-enter on the tonic at the right moment.

Each cadential trill features a sonority that can be interpreted differently, and the character is prepared by its preceding ornamental notes. In his Concerto in C Major, K. 246, for instance, Mozart provides three written-out cadenzas (see Ex. 87). The half-step eighth notes before the cadential trill in cadenza A, which are relatively heavier in valued than other preceding notes in the example, suggest a lyrical trill in a moderate tempo. Alternatively, in Cadenza B, the texture of a succession of notes in Lombardic rhythm related to the discussion of interpreting by the use of *messa di voce* in voice.[42] The straightforward fast passing thirty-second

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[39] The ornaments of No. 12 and 13 in Bach's chart is not as distinctive as how D'Anglebert defines. D'Angelbert describes it "*Tremblement appuyé*" in his table of ornaments and shows the suspension upper note using a tie, lingering on the first note. See: J. Henry D' Anglebert, *Pièces De Clavecin.* Preface by Kenneth Gilbert (Paris: Heugel, 1975).

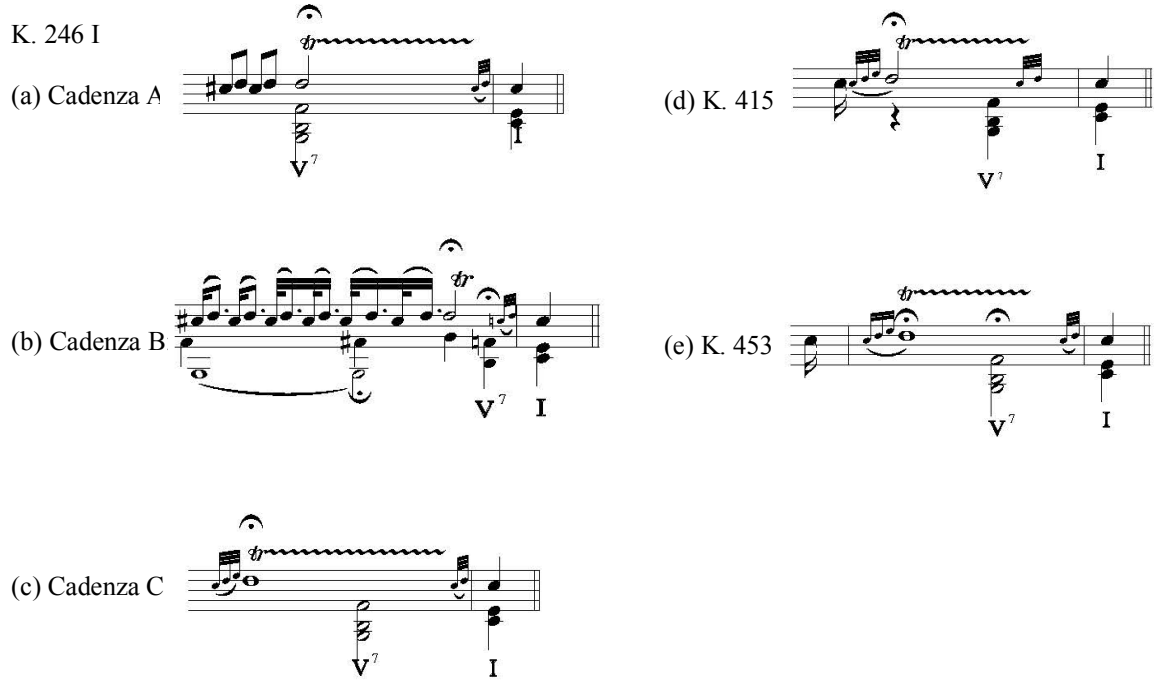
[40] Trills are often merged in combination with other ornaments, for instance, turn-trill, slide-trill, or mordent-trill. The so-called "cadential-trill," explained by modern musicologist Frederick Neumann (1907–1994) in his thorough examination of work on ornamentation in Baroque and post-Baroque music is preceded by a main-note trill a step below the principal note. See: Neumann, Frederick. *Ornamentation In Baroque and Post-Baroque Music*, 56–65.

[41] Couperin, *L'art De Toucher Le Clavecin*, 39.

[42] The cantabile style refers to the singing technique is to describe a way when pianists expresses a lyrical passage as one would sing. As the piano recitative style explains by pianist and fortepianist Robert Levin, he says that the "piano recitatives…is to say passages in which a melody in the right hand is accompanied by repeated chords in the strings." See: Robert Levin, "Instrumental Ornamentation, Improvisation and Cadenzas". In *Performance Practice: Music After 1600*, edited by Howard Mayer Brown and Stanley Sadie, (New York: W. W. Norton, 1990), 276.

note mordent in Cadenza C, suggests a brilliant trill. In his Piano Concerti in Major, K. 415 and K. 453, the thirty-second note serves as a pick up note to the slurred trill, which provides a more stable and grander gesture for the cadential trill that follows. The trills in K. 415 and K. 453 are different in length, which can also be interpreted differently: while the trill in K. 453 is grander, it's more straightforward and brighter in K. 415.

Example 87: Cadential Trill in Mozart's Concertos in C Major, K. 246, K. 415, and K. 453



According to these examples, the rhetoric of a bar-long trill establishes an expectation and a lead-in for the orchestra's return on the tonic.[43] Mozart uses a variety of ornamentation and notations to set up the little notes according to the affect. By replacing these thirty-second notes with quarter notes, we can see that Mozart's trill is essentially a variation on a main note trill.

[43] The "lead-in" corresponded to William Rothstein's definition of rhythmic or phrase continuity mentioned in Chapter One, page 23.

The solution for the contexts that favor starting on the upper note could be either to place the unaccented note before the beat as a grace note or to accent it on the beat as a short appoggiatura, calling it an appoggiatura trill, a *port de voix* trill, or a three-note mordent trill. These variations could be sensitively added to the trill and combined according to the desired affect.

Visualization of Eighteenth-Century Ornamentation

Just like the art embellishments on frames and prints of pierced scrollwork, C or S-scrolls of acanthus leaves, or "exotic" elements considered by eighteenth-century standards, these small elements combine to form an elegant musical whole. Figures 19 and 20 show Rococo ornament prints either engraved or published by Martin Engelbrecht (Augsburg, 1684–1756) in Germany.[44] Engelbrecht mostly collaborated with other artists to engrave and publish decorative art. The content he published included prints ranging from rocaille ornaments,[45] cartouches (shaped frames), vases, candelabras, designs for altars or pulpits, and peepshows.[46] Engelbrecht's financed other artists such as Johann Wolfgang Baumgartner (1712–1761) who's architectural features ultra-Rococo motifs (see Figure 20). Examples of Engelbrecht's designs are shown in Figures 20 and 21. These themes are framed by a highly decorative Rococo motif.

[44] Engelbrecht began working with the designer Eosander von Goethe (1669–1728) of the Silberbuffet im Ritterall (silver buffet in Knight's Hall) in Berlin, and he also worked on a porcelain cabinet in Charlottenberg. He began his career as an artist, and Engelbrecht collaborated with various artists, focusing mostly on subjects connected with the decorative arts. He and his older brother Christian Engelbrecht (1672–1735) were first working at a fine art publisher in Berlin. In 1719, they opened their own publishing studio in Augsburg where they produced a wide variety of graphic works.

[45] According to Monique Riccardi-Cubitt in *Grove Art Online*, 2013, the term *Rocaille* resembles "the irregular edges of rocks and shells… and it became an important element of the Rococo style." https://doi-org.proxyiub.uits.iu.edu/10.1093/gao/9781884446054.article.T072483

[46] *Modern Illustrated Books and Books on the Fine and Applied Arts: Including Rare and Important Works of the 16th, 17th and 18th Centuries, Drawing Books, Pattern Books, etc.* (London: Marlborough Rare Books, 1965), list XLV, 2009. pp. 33–34.

Figure 19: *Rococo Style Ornament Prints Engraving*, Johann Wolfgang Baumgartner, published by Martin Engelbrecht, plate from a suite of 4, Augsburg, 1750–1761, Victoria & Albert Museum, London[47]

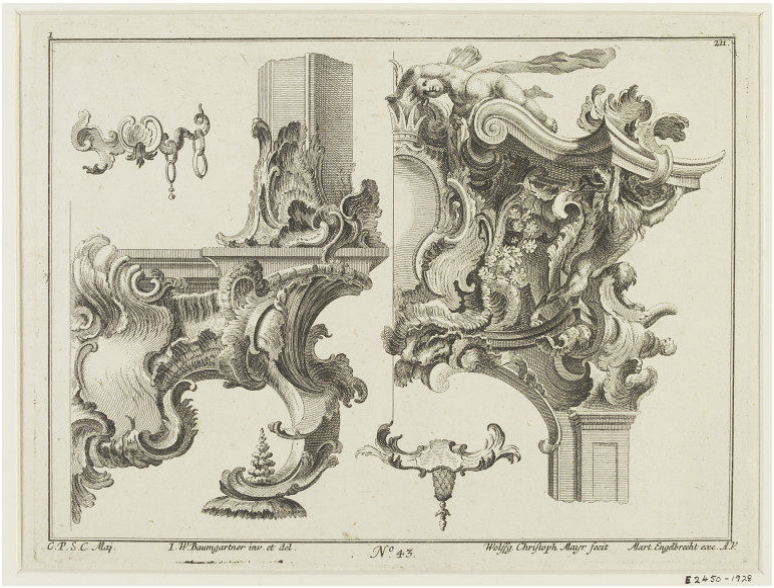


Figure 20: Engraving on Print and Framed by an elaborate Rococo motif, *Auditus*, (Hearing), plate 3 from a set of 6 showing the Five Senses, Martin Engelbrecht, Augsburg, 1750 –1761, Victoria & Albert Museum, London[48]

[47] Johann Wolfgang Baumgartner, *Rococo Style Ornament,* Museum number E.2450-1928, Victoria & Albert Museum, London, accessed October, 2017, http://collections.vam.ac.uk/item/O755453/print-baumgartner-johann-wolfgang/.

[48] Martin Engelbrecht, *Auditus*, Augsburg, 1750–1761, The depiction of "a draped male figure in a forest, surrounded by a variety of animals, playing on a stringed instrument." Museum number E.474-1928. Victoria & Albert Museum, London, accessed October, 2017, http://collections.vam.ac.uk/item/O757176/auditus-print-engelbrecht-martin/.

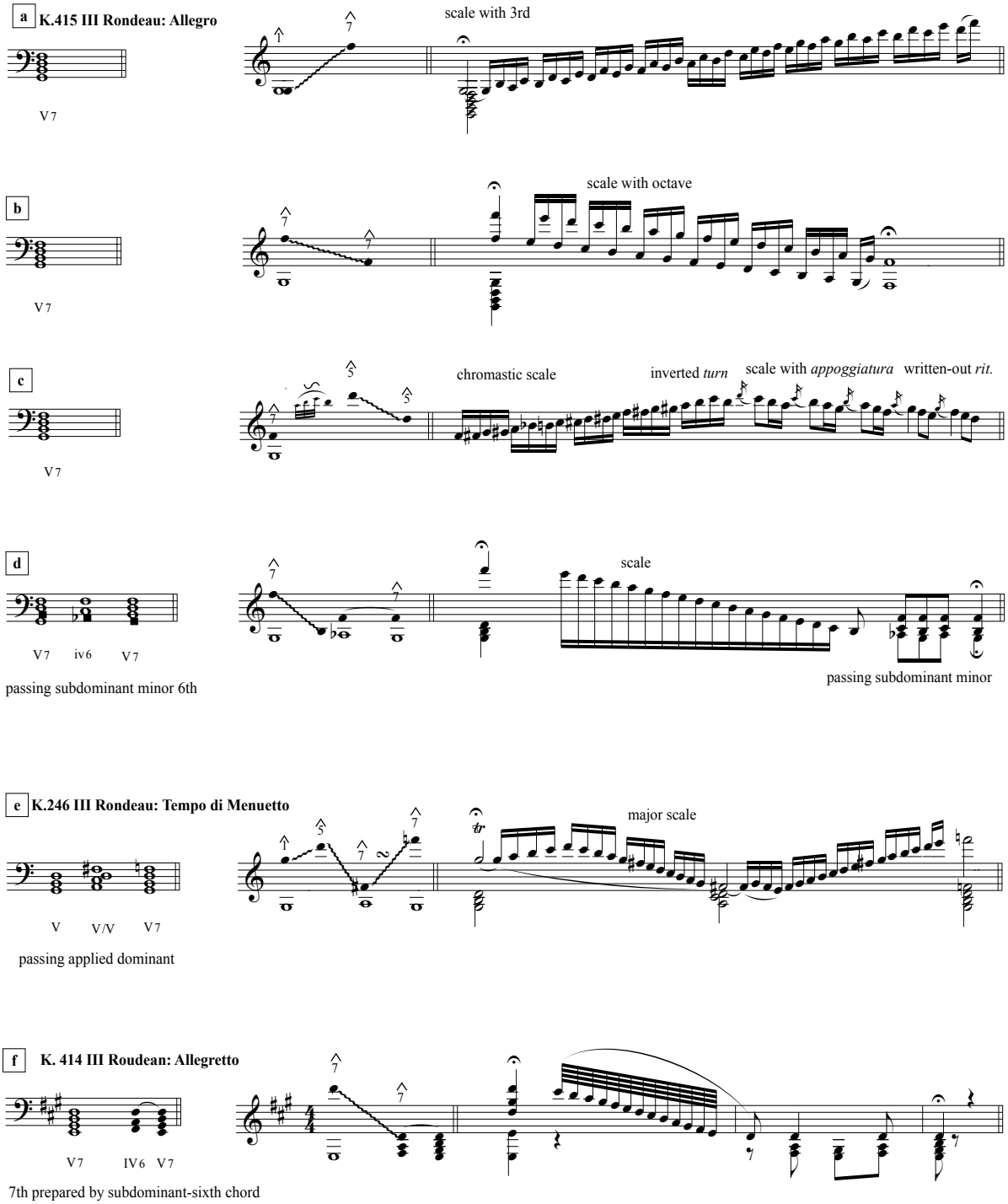
Figure 21: Engraving on Print, *L'Occupatione di Bethune*, Plate from a series of 55 entitled "Der Spanische Succession-Krieg." One of seven plates representing the Arts and Sciences. Designed by Artist Paul Decker (1685 –1742), Engraved by Martin Engelbrecht and Published by Jeremias Wolff, Victoria & Albert Museum, London[49]

Practice III: Dominant Decoration in Mozart's *Eingänge*

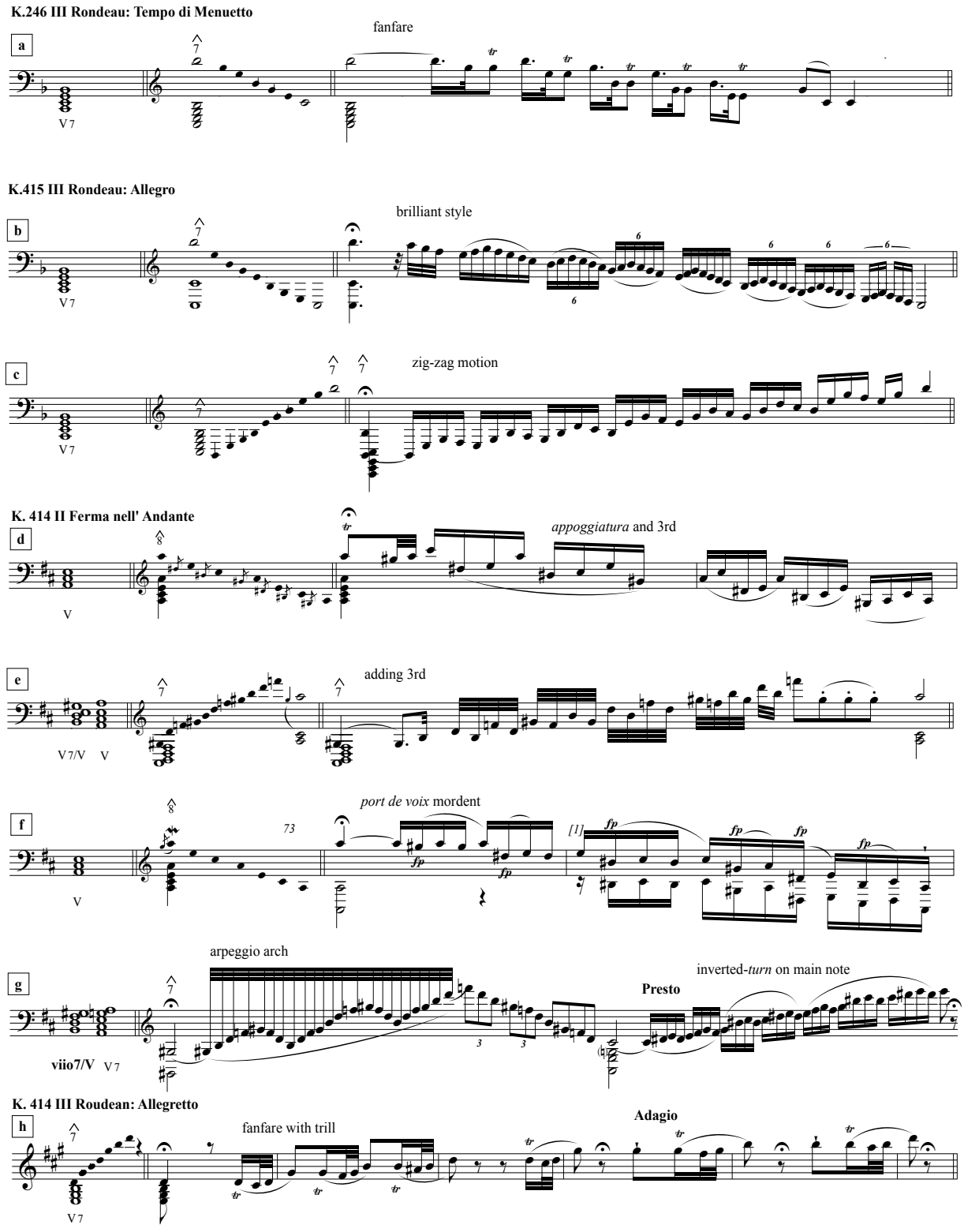
Practice III includes Mozart's own written-out examples in his *Eingänge* for exercising embellishments on the dominant, their expansion (analytical paradigm on left row and written-out passage on the right) using decorative scales (see Ex. 88) and ornamented arpeggios (see Ex. 89). These figurations are often used for virtuosic and energy gained gestures in brilliant style and fanfare style. Example 90 demonstrates how Mozart merges these two elements and creates *Eingänge* in the Andante from K. 415 Andante and the Rondo from K. 459.

[49] Paul Decker, *L'Occupatione di Bethune*, German, 1710-1715, Museum number 14105, Victoria & Albert Museum, London, accessed October, 2017, http://collections.vam.ac.uk/item/O672887/occupatione-di-bethune-engraving-decker-paul-ii/.

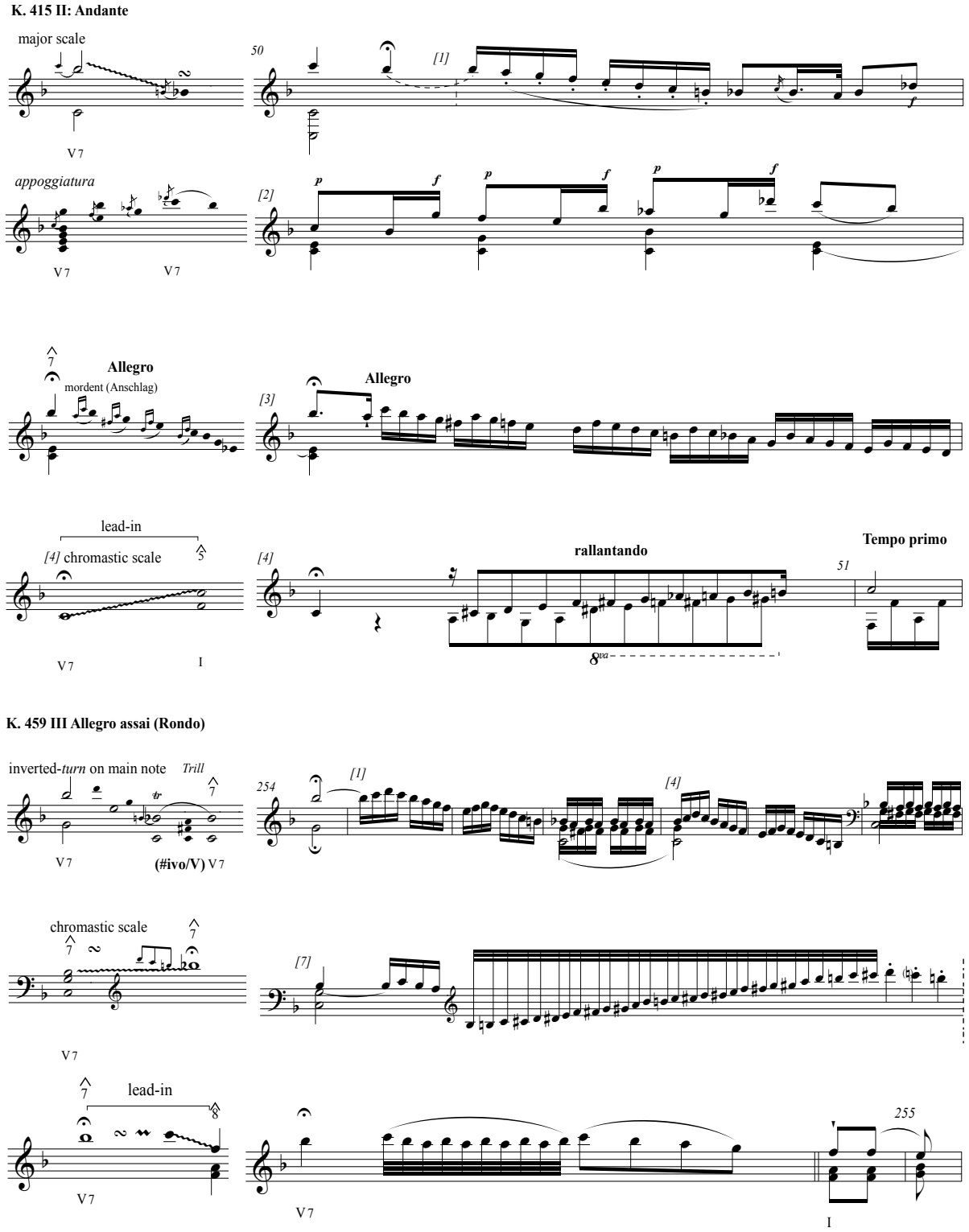
Example 88: Mozart, *Eingänge*, Decorative Scale



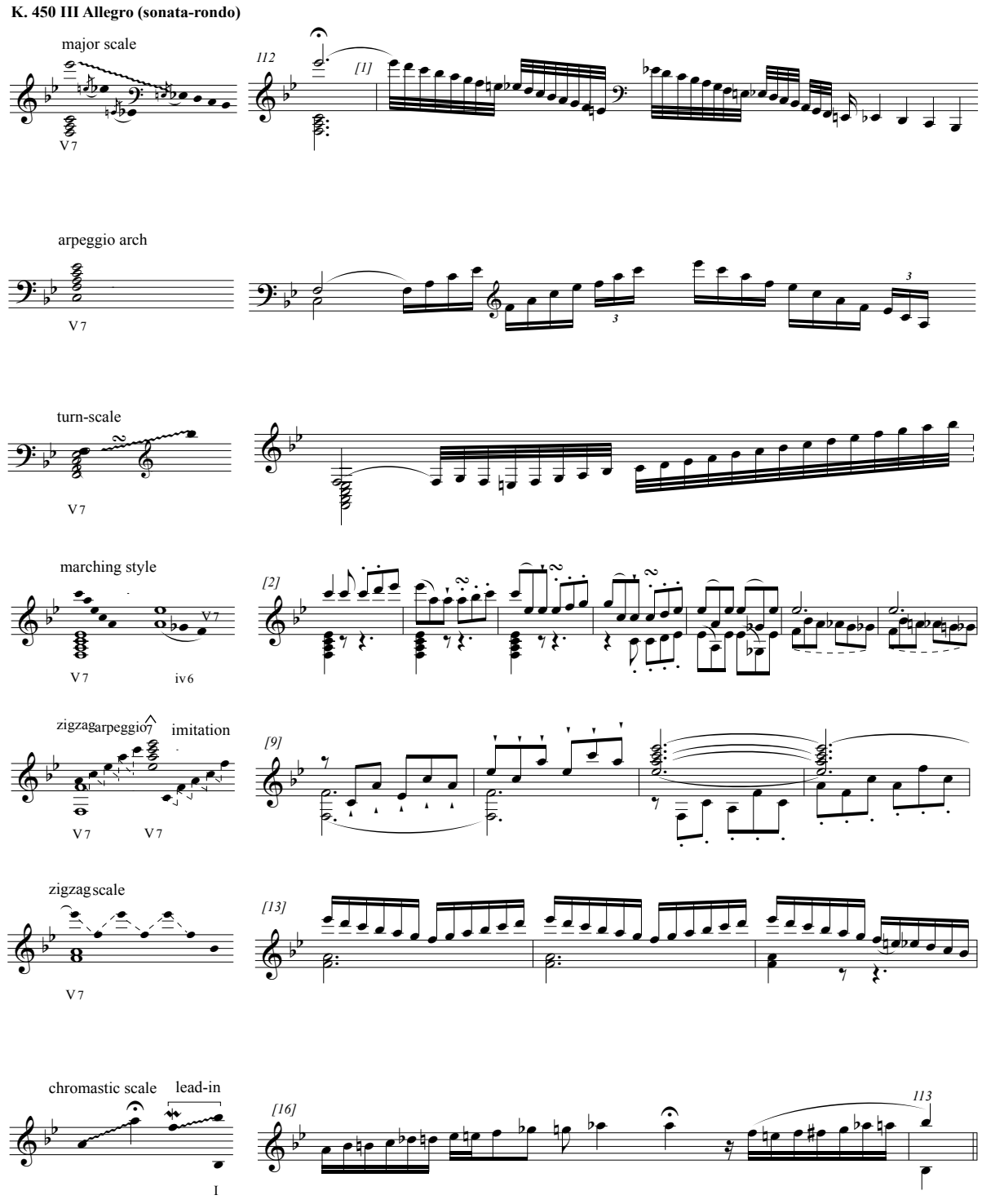
Example 89: Mozart, *Eingänge*, Ornamented Arpeggios



Example 90: Mozart, *Eingänge*, Fusions of Elements of Scale and Arpeggios



Example 91: Mozart, Piano Concerto in B-flat Major, K. 450, Third Movement, *Eingang*



The *Eingang* in K. 450 (see Example 91 above) demonstrates how ornamented elements of scales and arpeggios can be transformed into a series of events as in a story. The concerto sequentially begins with upward and downward motions using scales, arpeggios, and turns with scales on the dominant chord in three different registers. This is followed by bright martial-rhythm passages with a contrapuntal character in bar 2, and the zigzagging arpeggios in bar 3 continue the effect. The scale with its zigzagging motion shines and leads the passage to the closing section. After a short energy gain and loss passage, the last slur leads the *Eingang* back to the concerto theme.

C. P. E. Bach says at the beginning of his *Versuch* that he believes the true art of playing a keyboard instrument relates to three factors: "correct fingering, good embellishments, and good performance."[50] To improvise in eighteenth-century style, it is essential to be historically informed in order to make pragmatic decisions about interpretation and to be able to incorporate that understanding into spontaneous ornamentation.

[50] Carl Philipp Bach, *Versuch über die wahre Art des Clavier zu spielen*. Part I was revised by C.P.E. Bach and published in Leipzig in 1787; the quotations are taken from William J. Mitchell's translation: Essay on the True Art of Playing Keyboard Instruments, 30.

PART III: *EINGÄNGE*

Whereas Part One of this dissertation identified and explained stylistic materials in Mozart's piano sonatas such as the connective caesurae, ornamentation, and bass line progressions, as well as social factors such as contemporary aesthetics and philosophy that influenced Mozart's compositions and his improvisatory language; Part two presents a schematic strategy for polishing, learning and applying this idiomatic vocabulary to artful performances.

Using examples from eighteenth-century treatises by Daniel Gottlieb Türk, Johann Joachim Quantz, and Pier Francesco Tosi, Chapter Seven and Eight introduce a simple two-part schema for performers to use when starting to organize their creative ideas, and consider the sensitivity of gestures and appropriately executed articulations, especially in slow movements.

There are sixteen examples of Mozart's written-out *Eingänge* in his piano concerto movements. Chapter Nine explores how these *Eingänge* fall into three different categories based upon their structure: two-part, three-part, and five-part schemas. Chapter Nine also shows how the trajectory and effect of these schemas can be understood through the lens of dramaturgy and literary analysis. Part Two shows each *Eingang* as a careful compositional craft and considers how schemas integrate with Mozart's tendency toward elegant or special effects and exquisite wit.

CHAPTER SEVEN: PREPARATORY SCHEMA

"Good" Taste in Eighteenth-Century Improvisatory Style

During the eighteenth century, musicians and audiences alike placed great emphasis on aesthetic taste, which was determined by the manner in which a musician played, including the way the performer improvised or embellished. "Good taste" was, however, difficult to put into words, and often writers defined good taste by what it was not: bad taste.

An increased emphasis on reason made it increasingly easier to evaluate judgments of sentiment, taste, and individuality. As musicologist Raymond Haggh mentions in his translator's introduction to Türk's treatise, in music:

> Proper execution of a composition requires not only correct notes and rhythm but also the sensitive delineation of the affect, this made possible by the development of not only the technical requirements of good execution but also of a 'proper' taste. The listener should be stimulated by the same affects that the composer intends and that the performer attempts to realize.[1]

Pier Francesco Tosi (1653–1782) strongly criticizes singers who exhibit bad taste in improvised cadenzas.[2] Johann Friedrich Agricola (1720–1774) also offers insight in his *Introduction to the Art of Singing*, where he lists the rules for helping those who do not understand what "good taste" is. First, the cadenza must not be too long or too frequent.[3] This rule corresponds to Türk's guidelines for his important requirement that making a good cadenza involves giving it "a short

[1] Daniel Gottlieb Türk, *School of Clavier Playing*, trans. Raymond H. Haggh (Lincoln: University of Nebraska Press, 1982), xiv.

[2] Johann Friedrich Agricola says "Tosi is thus an enemy of our current improvised cadenzas. Am I to contradict him to please the fanciers and admirers of cadenzas and become their champion? It is true that many abuses occur, some of which have been rightfully censured by the author. It is true that one would rather hear no cadenza at all than poor one that is often rushed through. Now and then many a singer spoils all the good that he has achieved in the aria with an absurd ending. It is really burdensome for those who are poor in invention, not wishing to repeat the same one again and again, to have to create new cadenzas so often." See: Pier Francesco Tosi and Johann Friedrich Agricola, *Opinioni de' cantori antichi e moderni*, trans. and ed. Julianne C. Baird, *Introduction to the Art of Singing* (Cambridge: Cambridge University Press, 1995), 210.

[3] Pier Francesco Tosi and Johann Friedrich Agricola, trans. and ed. Julianne C. Baird, *Introduction to the Art of Singing,* 211.

representation."[4] A short representation also means that the cadenza should not modulate. Agricola's conclusions are consistent with other theorists and composers from the eighteenth century. Table 4 list the commonly held attitudes drawn from the works of four theorists and their treatises for their respective instruments—Tosi for voice, Quantz for flute, Türk for keyboard, and Leopold Mozart for violin— and their most frequently suggested guidelines for improvising cadenzas.

Table 4: Prevalent Attitude Toward Improvising Cadenzas in Treatises of the Eighteenth Century

Length	Cadenza should be within one breath for musical expression and for the trill.
Theme	Always be related to the main Affect [passion].
Figurations	1. No repeating ideas, no matter how beautiful the idea is. 2. Constantly change with creativity. 3. No thematic melody, but broken phrases.
Key/ Harmony	No modulation and dissonances must resolve.
Rhythm	No strict rhythmic movement, play in the style of free Fantasia or impromptu inventions.

Quantz believed that rules were made for unskilled singers who had no appropriate taste. Likewise, he believed that cadenzas were simply to be invented by a few skillful people extemporaneously, without rules. In his treatise, he claims that the object of the cadenza "is simply to surprise the listener unexpectedly once more at the end of the piece, and to leave behind a special impression in his heart."[5] I have found that these guidelines can be used to expand modern performers' vision and understanding regarding improvisation in the music of the Classical era, thereby providing them with ideas for tasteful interpretation and ultimately allowing them to express themselves freely.

[4] Türk, *School of Clavier Playing*, 289–301.
[5] Edward R Reilly, *Quantz's Versuch Einer Anweisung Die Flöte Traversiere Zu Spielen: A Translation and Study* (Ann Arbor: s.n., 1958), 180.

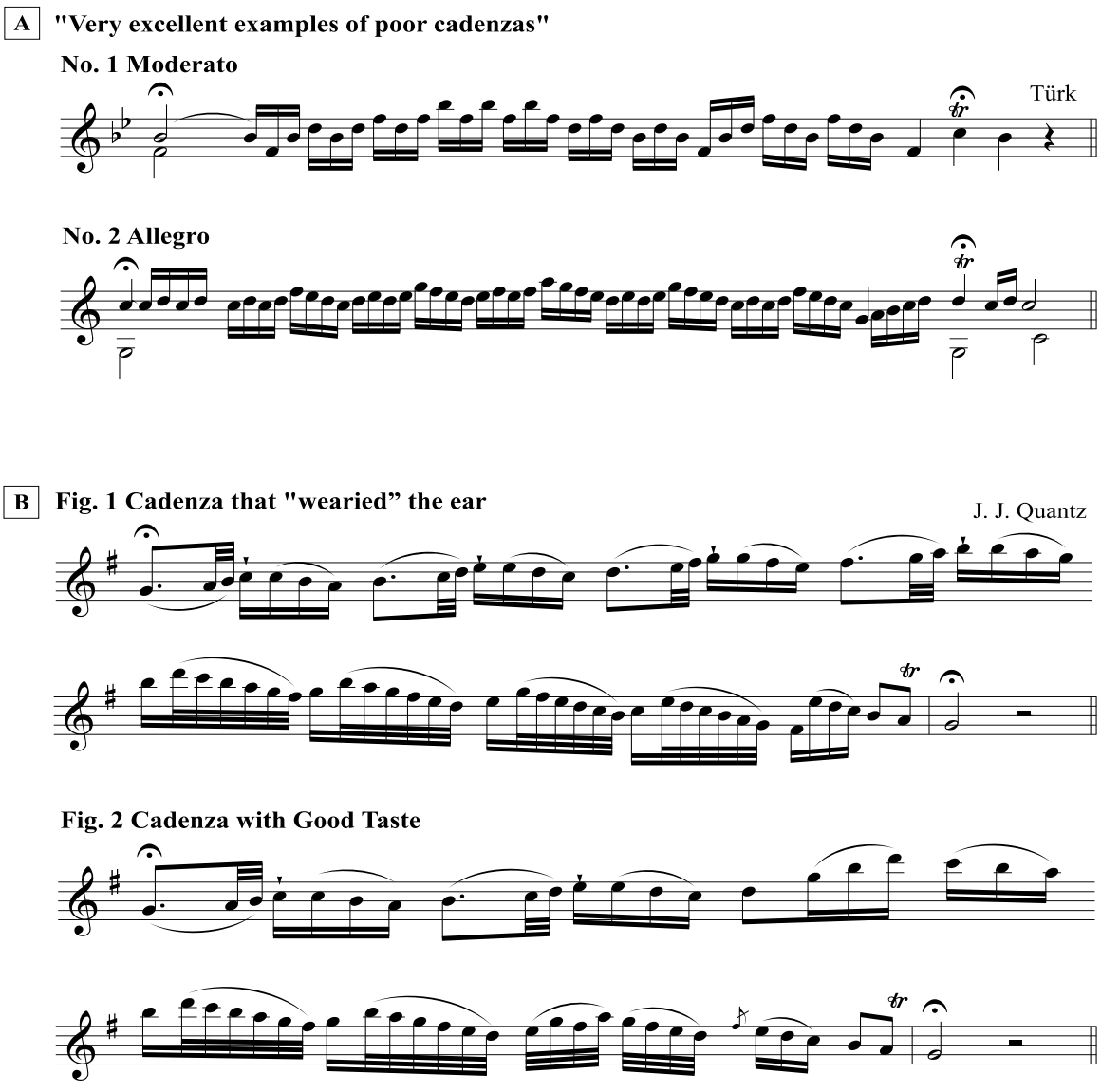
To provide a better understanding of what might be a dull improvisation lacking in rich ideas, or in so-called bad taste, both Türk and Quantz offer musical examples to acquaint their pupils with proper taste. Türk provides improvisatory gestures, and labels them as "very excellent examples of poor cadenzas",[6] as shown in Example 92a. "A cadenza does not have to be erudite, but novelty, wit, an abundance of ideas and the like are so much more its indispensable requirements."[7] He explains that "Figures must (therefore) always alternate with one another in different ways. The basic ingredient consists of, first, no repeating idea, no matter how beautiful it may be." Therefore, the figuration needs to be frequently changed, and "as much of the unexpected and the surprising as [one] can possibly be added should be."[8] These two cadenzas, No. 1 and No. 2, are lacking in variety of articulation, dynamics, and patterns, as he calls it, "word, of only plain, fast-moving notes that sound like finger exercises, without any creativity."[9] Figures which present musical ideas must always alternate with one another in different ways.

Likewise, Quantz also provides an example that "wearied" the ear, as shown in Example 92b, Fig. 1. He explains that within this cadenza that there are only two kinds of figuration and that the resulting dullness comes from "each figure [being] heard four times, [and] the ear is wearied."[10] Furthermore, the same tempo and meter are maintained which, against the nature of the cadenza, which "should be more like a fantasia which has been fashioned out of an abundance of feeling with fresh figures …"[11] He further demonstrates a more pleasing figuration in comparison (see Ex. 92b, fig. 2), in which ideas are "Repeated only once, and are then

[6] Türk, *School of Clavier Playing*, 304.
[7] Ibid., 300.
[8] Ibid., 298.
[9] Ibid., 304-6.
[10] Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen*, 182.
[11] Ibid.,183.

interrupted with fresh figures … [if] the ear can he deceived with fresh inventions, the greater is the pleasure it feels."[12] Constantly practicing a quick alternation of figurations and boldly expressive patterns that are new to a piece's vocabulary will enhance the performer's ability to react quickly when improvising.

Example 92: Comparison of Cadenzas of "Good" and "Poor" Taste
(a) Türk, *School of Clavier Playing*
(b) Quantz, *On Playing the Flute*

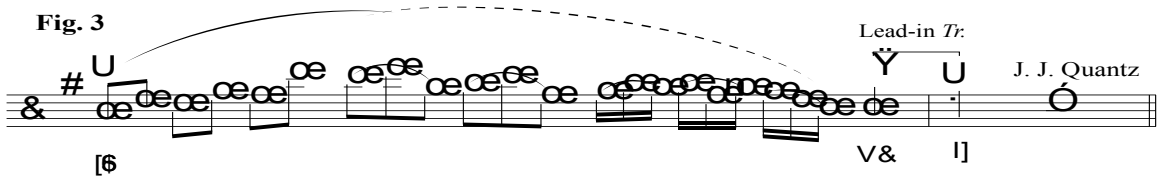


[12] Ibid.

Cadenza in Adagio: An Arch with an Elegant Lead-in

According to Quantz, the figurations mentioned above are suitable for fast movements (see Ex. 92b, Fig. 2 above). He further advises his pupils to use the first and last notes from the examples above to create a cadenza in an Adagio (see Ex. 93). In Quantz's Fig. 3, the figuration demonstrates three kinds of note durations: the eighth, triplet, and the sixteenth. None of the figurations are repeated more than twice, and the intervals are constantly changing.

Example 93: Cadenza with Good Taste in Adagio, Quantz[13]



As Türk suggests: "A true musician may distinguish himself by the manner in which he plays the Adagio, may greatly please true connoisseurs and sensitive and feeling amateurs, and may demonstrate his skill to those who know composition."[14] For performers learning how to execute improvisatory gestures, the simpler plan for schema formation pertaining to an Adagio movement should be attempted before working on the more complicated and fiery figurations consisting of large leaps, trills, triplets, runs, etc., that are suitable in fast movements.

Corresponding to the caesura arch, mentioned in Chapter One, which regards the energy gain to energy loss plan in Mozart's piano sonatas, Quantz's Adagio cadenza also shows an arch-shape plan (marked on Ex. 93 above) with a lead-in trill on the dominant that brings back the tonic. This cadenza structure of an arch with its elegant lead-in illustrates a basic two-part frame for embellishing a short cadenza.

[13] Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen,* 194.
[14] Türk, *School of Clavier Playing*, 162.

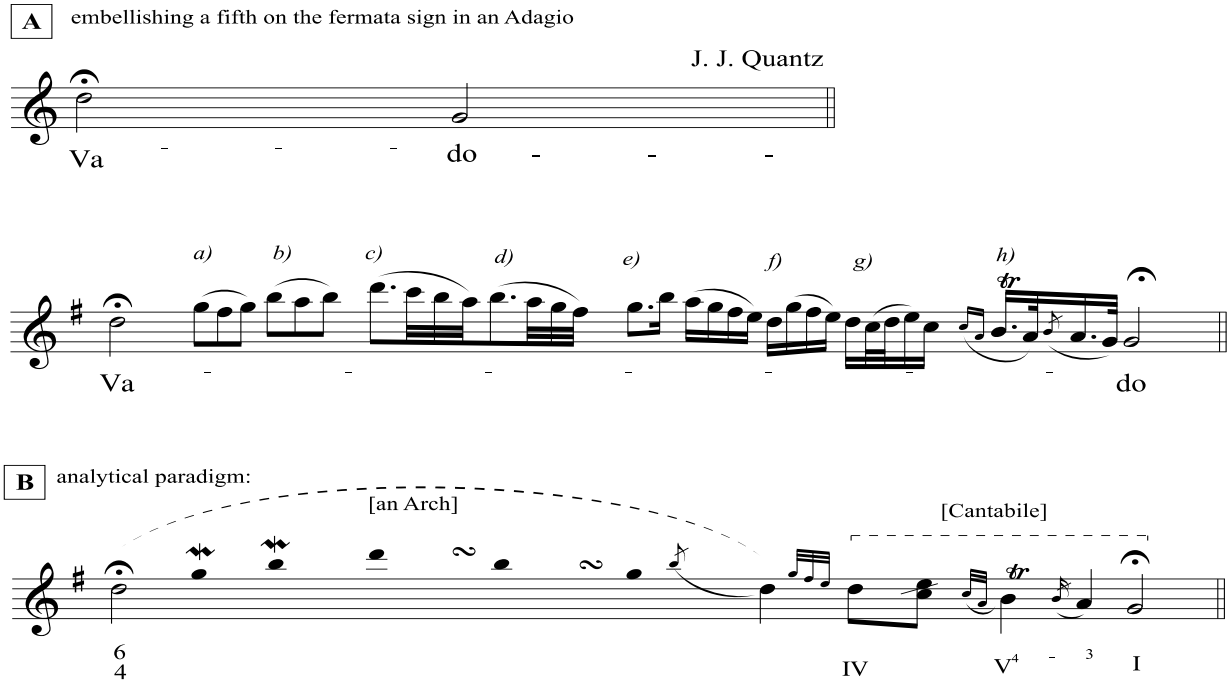
Basic Two-Part Schema: Arch with Cantabile Cadence

If a wider interval such as a fifth or an octave is involved in a caesurae space, more figures can be used to fill in such a gap in an Adagio movement. As shown in Examples 94 and 95, Quantz and Tosi both illustrate how to embellish a cadenza based upon a fifth interval. On the word *Vado*, which means "I go", Quantz explains that he fills the intervals and starts with "The first note, beneath the semicircle with the dot, [to] be held as a *messa di vo*ce, allowing the tone to swell and diminish, as long as your breath permits; but you must retain enough air to complete the following embellishment in the same breath."[15] The use of *messa di voce* that Quantz mentioned simultaneously creates the energy gain to energy loss.

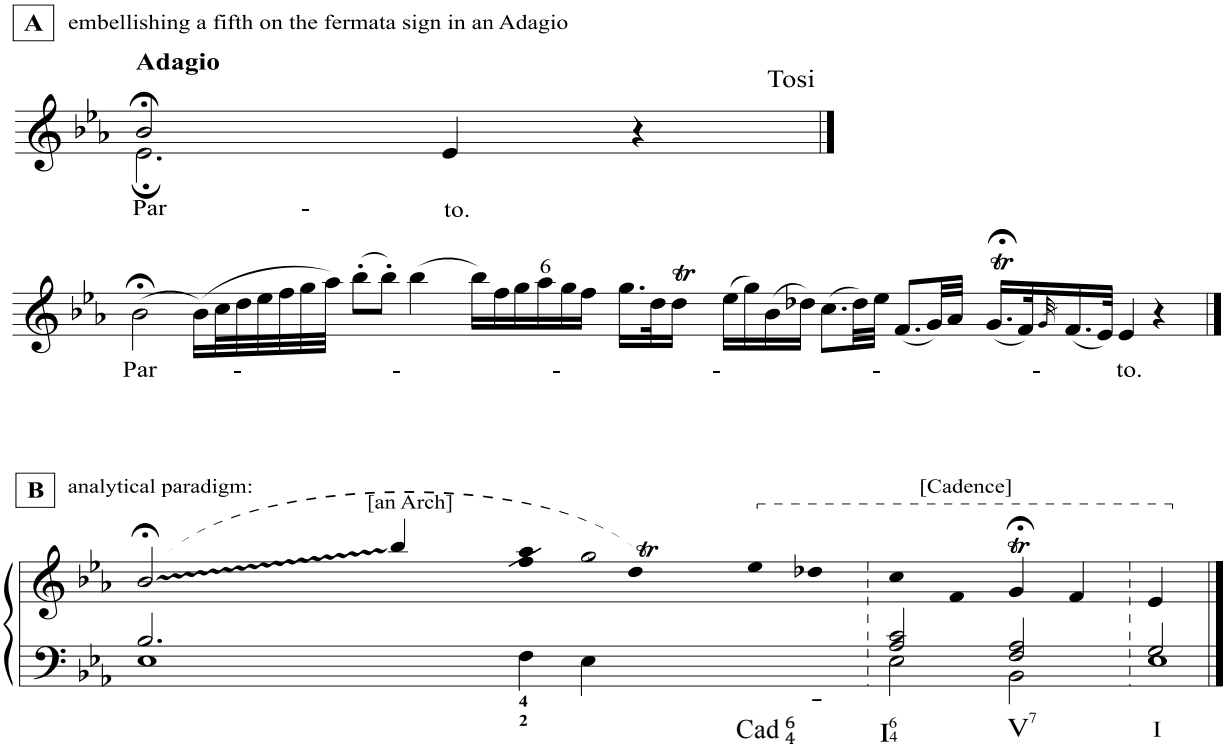
In his example, which occurs within one breath, Quantz includes seven figurations, each marked in alphabetical order. Each figuration is decorated, as shown in Example 100b, the paradigm with an analysis in short notation. Quantz's figuration can be divided into two parts: the first part, from figurations (a) to (f), contains octave decorations on the dominant six-four chord of G major and features an energy-gaining ascending motion that reaches the highest note during figuration (c). After the decorated broken chord returns to the starting note D (in fig. f), the second part begins on D from figuration (g). Its undecorated melodic outline shows a descending line within the interval of a fifth. The highly decorated cantabile-style passage finishes on a cadence with a trill and mordent (*Anschlag*) accenting the dominant in figuration (h). Quantz adds that any of these figures can be removed according to the performer's breath without disturbing the whole phrase.

[15] Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen,* 194.

Example 94: Decorating a Fifth by Quantz, Embellishing the Fermata Sign in an Adagio



Example 95: Decorating a Fifth by Tosi



Tosi also provides an illustration for embellishing a fifth in an Adagio by ornamenting on the word *parto* (see Ex. 95 above, *parto* means "I depart.").[16] This example demonstrates Agricola's suggestion for cadenzas that "similar figures should not be repeated nor transposed too often; rather, one should seek to connect different figures and skillfully alternate them. Yet the cadenza must not be an actual arioso melody, but only a skillful weaving together of broken phrases that are not enlarged upon."[17] As these examples and writings show, the ability to incorporate a variety of figurations in good taste, with creativity, and in a way that is coherent with the whole piece's affect was repeatedly emphasized by composers and theorists during this period.

Both Examples 94 and 95 show a basic two-part schema that starts with a major scale flourish and finishes with a cantabile-decorated cadence. Compared to Quantz, Tosi adds a slight touch on the passing harmony, using a four-two chord. Agricola's commentary reinforces this practice, as he mentions, "The more unexpected elements that can be brought into a cadenza, the more beautiful it is."[18] This part with passing harmony can also be removed without disturbing the whole phrase; however, it adds more character and aesthetic beauty that is related to the main affect. Agricola further adds that a phrase "may not be held longer than is possible in one breath; and some breath must be left over for a precise trill."[19] This shows that the performer's breath should dictate the length of the inserted elements.

From the examples mentioned earlier, I suggest a two-part schema for an *Eingang*—virtuosic to cantabile, Presto to Adagio, or energy gain to energy loss—that illustrates a basic model when an improvisatory space opens. The first part features a brilliant virtuoso style that is

[16] Tosi and Agricola, *Opinioni de' cantori antichi e moderni*, 213.
[17] Ibid., 211.
[18] Ibid.
[19] Ibid.

sometimes marked ”Presto.” The second part presents a cantabile style on the dominant, which is occasionally marked “Adagio.” With the appropriate phrase length, to be performed in one breath, elements can be inserted or expanded between these halves of the two-part scheme (see Table 5, possible expansion). For instance, a touch of dissonance can be added for harmonic color, creating either beautiful, reminiscent phrases that resemble the melodic ideas in the movement or a specific style that is related to the composition’s affect.

Table 5: Two-Part Scheme in Figuration for Short *Eingänge*

<table>
<tr><td></td><td>Part One</td><td></td><td colspan="2">Part Two</td></tr>
<tr><td></td><td>Fast</td><td>(Possible Expansion)</td><td colspan="2">Slow</td></tr>
<tr><td>Tempo</td><td>Presto</td><td></td><td colspan="2">Adagio or Andante</td></tr>
<tr><td>Character</td><td>Brilliant virtuoso style</td><td>Contrapuntal style</td><td colspan="2">Cantabile style</td></tr>
<tr><td>Figurations</td><td>Fragments that constantly change</td><td>Beautiful reminiscent phrases</td><td colspan="2">Highly decorated phrase on asimple interval</td></tr>
<tr><td rowspan="2"></td><td rowspan="2"></td><td rowspan="2"></td><td>Energy-gain</td><td>Energy-loss/onset</td></tr>
<tr><td>Declamation</td><td>written-out ritardando</td></tr>
<tr><td>Harmony</td><td>Dominant color by using applied dominant, tonic six-four, or dominant seventh</td><td>Dissonance color</td><td colspan="2">trill on V_7
Cadence</td></tr>
</table>

Harmonic Expansion and a Three-Section Schema

Longer cadenzas expanded by harmony provide opportunities for performers to show their full expression. However, the free feeling of a cadenza can hardly be taught. As Türk quotes from one of his favorite references, Tosi, in his *Anleitung zur Singkunst*:

> It is hardly possible to prescribe good cadenzas that can be generally applied, as little as it is possible to teach someone to memorize flashes of wit beforehand … [these] are partly inspired and partly determined by circumstances and occasion. Through diligent reading and observation of the flashes of wit of others, however, one can awaken and sharpen one's own wit, just as one can keep it in order through the directions of reason.[20]

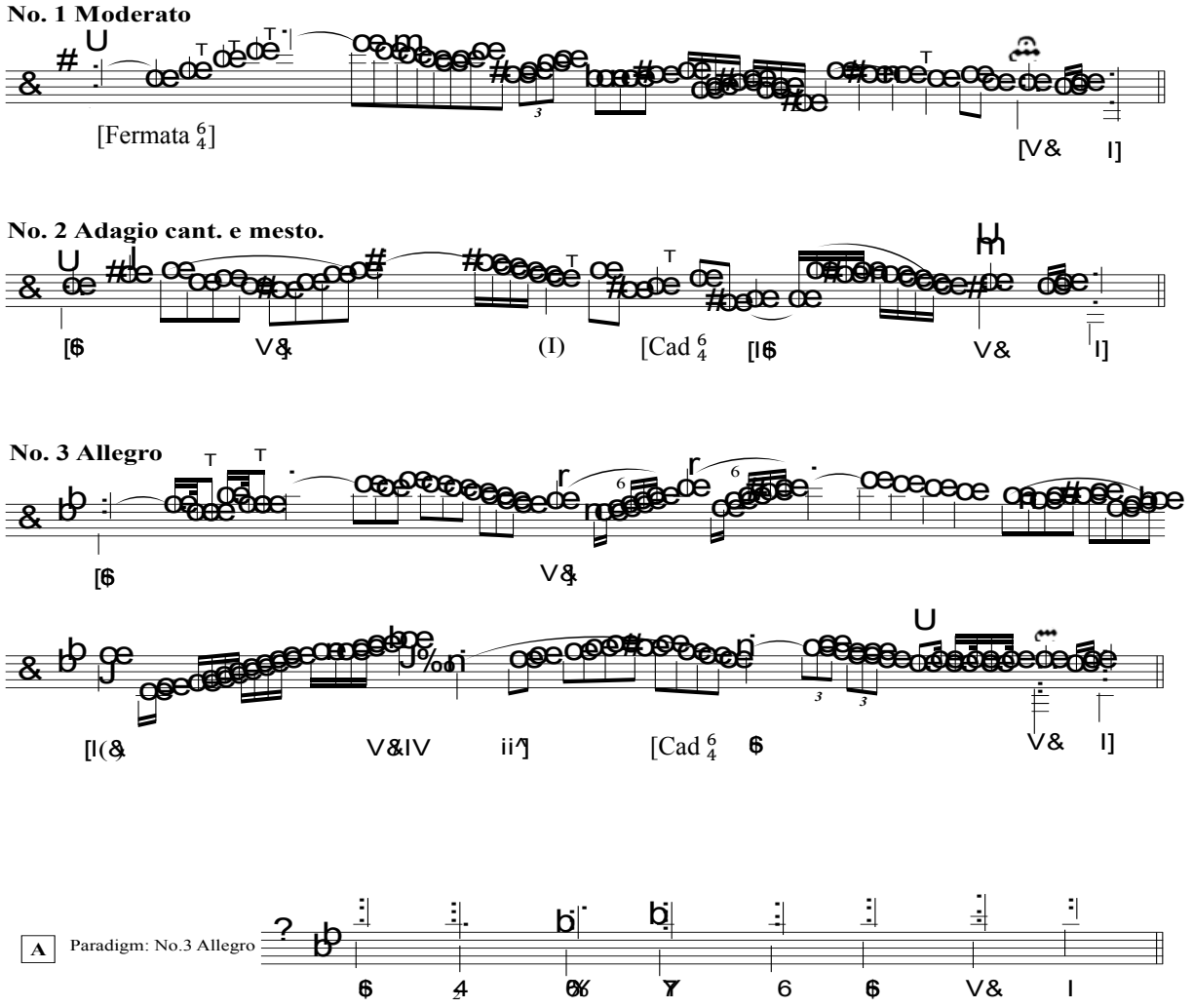
[20] Ibid., 302.

To aid the performer in achieving flashes of wit and enjoyable results when improvising, and for a better understanding of how to practice, Türk includes examples of cadenzas that show varied and distinct characters, which are indicated by different tempo markings (see Ex. 96). These examples also demonstrate the harmonic plan in every possible expansion.

For fast movement cadenzas Türk explains that "for the expression of joy … high consonant tones, often widely separated (as in skips) with rapid passage works, etc. should be used."[21] He points out that the figurations in his examples, no. 1 (Moderato) and no. 2 (Adagio), need to correspond to the affect of the piece and, as previously noted, the embellishments should suit the main character of the composition. From the choices of ornamentation in no. 1, using the turn and appoggiatura that flow with small intervals, this G-major Moderato movement is expected to be a lyrical and elegant one. In Example no. 2, Adagio cantabile e mesto in A Minor, Türk employs the augmented fourth and diminished seventh intervals, which correspond to Johann Philipp Kirnberger's ideas about intervals and expression mentioned in Chapter Three: these intervals present a desperately sad (mesto) and lamenting feeling.[22] The beautiful cadenza no. 3, Allegro in B-flat Major, is greater in length. Harmonically, it shows a more expressive expansion in the middle part, using an applied seventh chord; moreover, the bassline moving in stepwise motion (see Ex. 96a) and the free arpeggio marked in sextuplets might suggest a Fantasia style.

[21] Türk, *School of Clavier Playing*, 299.
[22] Johann Philipp Kirnberger, *Die Kunst des reinen Satzes*, translated by David Beach and Jurgen Thym, *The Art of Strict Musical Composition,* intro. and explanatory notes by David Beach (New Haven: Yale University Press, 1982), 373-374.

Example 96: Cadenzas Demonstrated by Türk



From Türk's examples nos. 1-3, a structure of harmonic extension in eighteenth-century cadenzas is revealed.[23] As illustrated in Table 6, the fundamental harmony for a cadenza moves from cadential $\frac{6}{4}$ to $\frac{7}{5}$, which is notated as Fermata $\frac{6}{4}$ to V_7. The six-four chord can be prolonged by adding a dominant or a dominant seventh chord, either by the bass moving in an ascending gesture approach to Cad $\frac{6}{4}$ or by the bass stretching one step down and then back to $\frac{6}{4}$, preparing for the cadential trill on the dominant. Furthermore, this dominant prolongation can be

[23]It is worth noting that Türk's demonstrations were created for cadenzas based on only on the six-four chord; this shows the fact he doesn't identify *Eingänge* as Mozart does.

intensified by adding a minor mode inflection, diminished chords, or all of the above, ultimately creating a chromatic bassline. Türk also explains that when a cadenza is long, the cadential trill, which is on the fermata on the B-flat in no. 3, can be played longer accordingly.

Table 6: Cadenza Harmonic Plan from Türk

No.1	[Basic Two-Part Plan: an Arch with a Lead-in Trill]	
	Cadential $\frac{6}{4}$ (Fermata $\frac{6}{4}$)	$\frac{7}{5}$ + Cadential Trill (V_7)
No.2	[Two Part Plan: an Arch with Cadence]	
	$\frac{6}{4}$ [V_7] – (I)	Cad $\frac{6}{4}$ $\frac{7}{5}$ + Cadential Trill (V_7)
No.3	[Three Part Section: Opening I-V, Middle Expansion, and Cadence]	
	$\frac{6}{4}$ V_7 [I_7 vii_7 /ii ii_6] (inner voice moving chromatically)	Cad $\frac{6}{4}$ $\frac{7}{5}$ + Cadential Trill (V_7)
No.4	$\frac{6}{4}$ V_7 [$vii^{\circ 7\text{-}6}$]	
No.5	$\frac{6}{4}$ V-- $_7$ [V $\frac{6}{5}$ / V]	

In Table 6, a three-section schema for a cadenza is revealed, which opens with a six-four chord and moves to a dominant seventh. The middle section features a brief modulation, which goes back to the six-four chord and finishes with a cadential trill. Türk's examples in No. 4 and No. 5 both display a longer cadenza in a three-section schema, with the middle section expanded by a diminished seventh and an applied dominant chord, that includes various witty and charming moments.

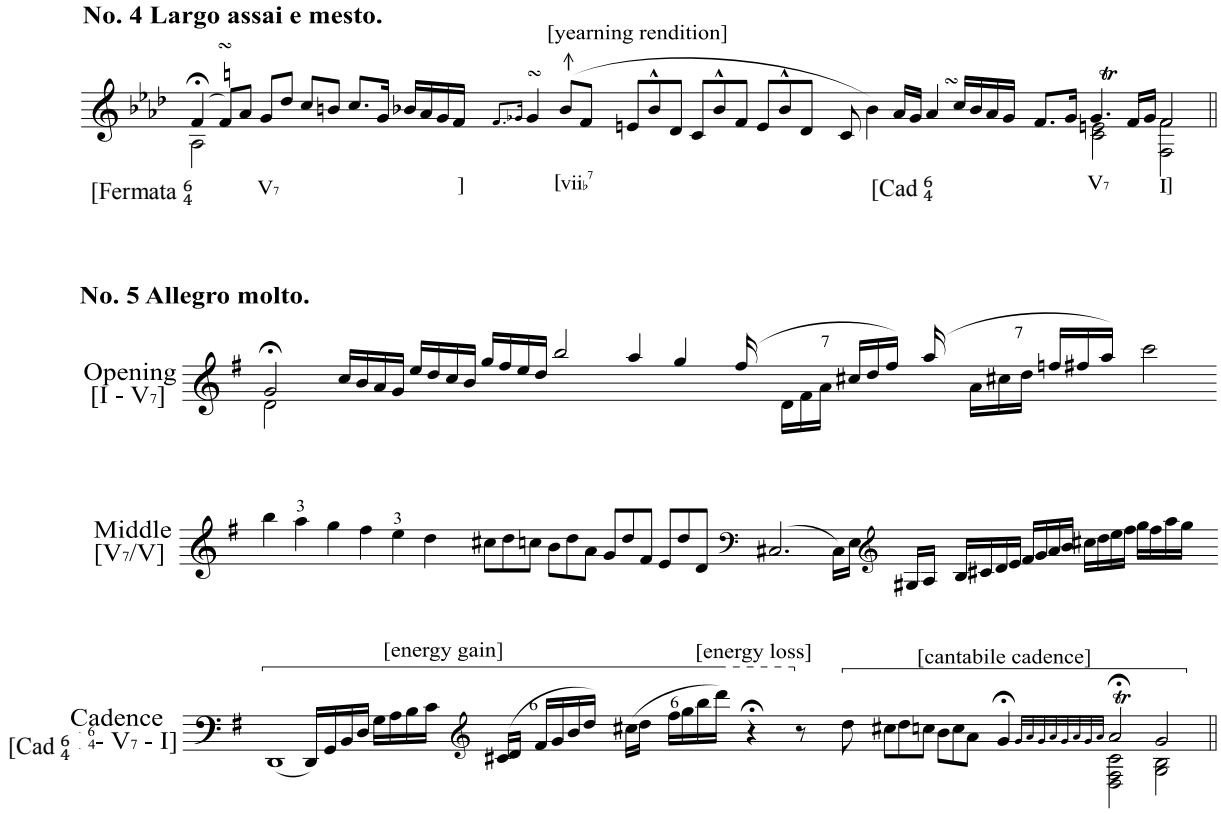
No. 4, Largo assai e mesto (see Ex. 97), is a slow and sad cadenza in F minor. Türk indicates that this cadenza's expression can be interpreted as a "yearning rendition" on the B-flat, the minor seventh over the dominant bass.[24] The minor seventh produces the sensation of

[24] Türk, *School of Clavier Playing*, 303.

tenderness, which is repeated several times.[25] Harmonically, this cadenza's tension is created by the chromatic exchange in the inner voice, with tenths and sixths under the half-note melody—F to E and D-flat to C— which interact with the yearning on the B-flat, making the Largo more dramatic.

Each figuration in the last cadenza is short and flashy with a feeling of free Fantasia and includes the left hand (see Ex. 97, No. 5). As Türk mentions earlier, "as much of the unexpected and the surprising as can possibly be added should be used in the cadenza."[26] Cadenza no. 5, Allegro molto, perfectly demonstrates a cadenza containing variety within well-structured unity and with good taste.

Example 97: Continuing Türk's cadenzas



[25] Interval expression was discussed earlier in Chapter Four, page 102.
[26] Türk, *School of Clavier Playing*, 300.

Eingang: Expanded Arch/Bridge with Dominant Piers followed by a Cantabile Cadence

The closing section in Türk's pedagogical cadenza No. 5 (see Ex. 97 above) corresponds to the energy gain to energy loss, caesura arch, followed by a cadential trill in cantabile style. As mentioned in Chapter One, the *Eingang* in Mozart's piano concerti is an extended caesura arch that resembles a bridge with prominent/dominant piers. In keeping with the practice of providing visual analogs to musical examples, as was shown in Chapters 1 and 2, Figures 22 and 23, I provide analogs of art structure to the *Eingänge* of Mozart. These figures show paintings with eighteenth-century bridges by Paul Sandby, an artist who worked primarily with etchings, watercolor landscapes, and sketches of Scottish life.[27] Between 1747–1752 Sandby also worked as the chief draughtsman of the Ordnance Survey of Scotland, where he was touring in order to prepare designs for new bridges.

Figure 22: Etching with engraving, Eighteenth-Century Bridge, *View of Carlisle,* 1 May 1780, After Paul Sandby RA (1730/31–1809), 180 x 130 mm[28]

[27] Paul Sandby RA was Born in 1730/31 in Nottingham, Nottinghamshire, England, United Kingdom, and died on 8 November 1809. He was a textile worker and a foundation member of Royal Academic. "Biography," on Baynton-Williams's official website, accessed March 20, 2018, http://www.baynton-williams.com/Paul-Sandby-Biography.htm

[28] "View of Carlisle" Ob. Number: 06/1398, drawn by Frederick Ponsonby, 3rd Earl of Bessborough(1758–1844), engraved by Francis Chesham (1749–1806), Published by George Kearsley (ca. 173–1790), The Royal Academy of Arts (website), accessed March 20, 2018, https://www.royalacademy.org.uk/art-artists/work-of-art/view-of-carlisle

Figure 23: Etching with engraving, Eighteenth-Century Bridge, *The new bridge on the River Dee, near Chirk Castle,* 1 February 1779, After Paul Sandby RA (1730/31–1809), 180 x 127 mm, Royal Academy of Arts[29]

The designs of bridges vary depending on the function, the terrain, and the material available in order to construct one; the *Eingänge*, likewise, use dominant harmony as bridge piers to support the arch shape, energy gain to energy loss figurations, followed by an elegant cantabile lead-in trill to return. The people in these pictures, which show simple countryside life, provide a visual image that corresponds to the cantabile style.

The following discussions of Mozart's *Eingänge* in slow movements focus on the function, locations, and characteristics that relate to their corresponding concerto movements. Analysis of how Mozart spontaneously uses stylistic elements to enhance his musical ideas, puts forth an advanced schematic plan for constructing an *Eingang*.

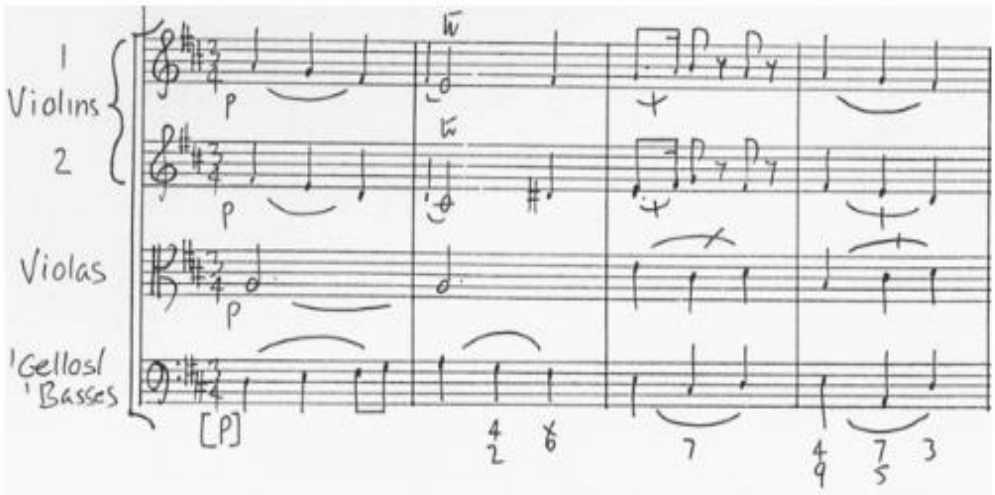
[29] "The new bridge on the River Dee, near Chirk Castle" Ob. Number: 06/1354, engraved by Peter Mazell (1733–1808), Published by George Kearsley (ca. 1739–1790). The Royal Academy of Arts (website), accessed March 20, 2018, https://www.royalacademy.org.uk/art-artists/work-of-art/the-new-bridge-on-the-river-dee-near-chirk-castle.

Schema and the *Eingänge* of Mozart's Andante, K. 414 and K. 415

Between 1782 and 1786, Mozart wrote fifteen piano concerti. These concerti were his vehicles for performance and his primary source of income. He ingeniously merged the symphonic, operatic, and chamber music styles into a uniquely personal language of expression. Within these concerti, in K. 414 and K. 415 (composed in Vienna in 1782), he included two *Eingänge*, which he wrote out for the second movements.

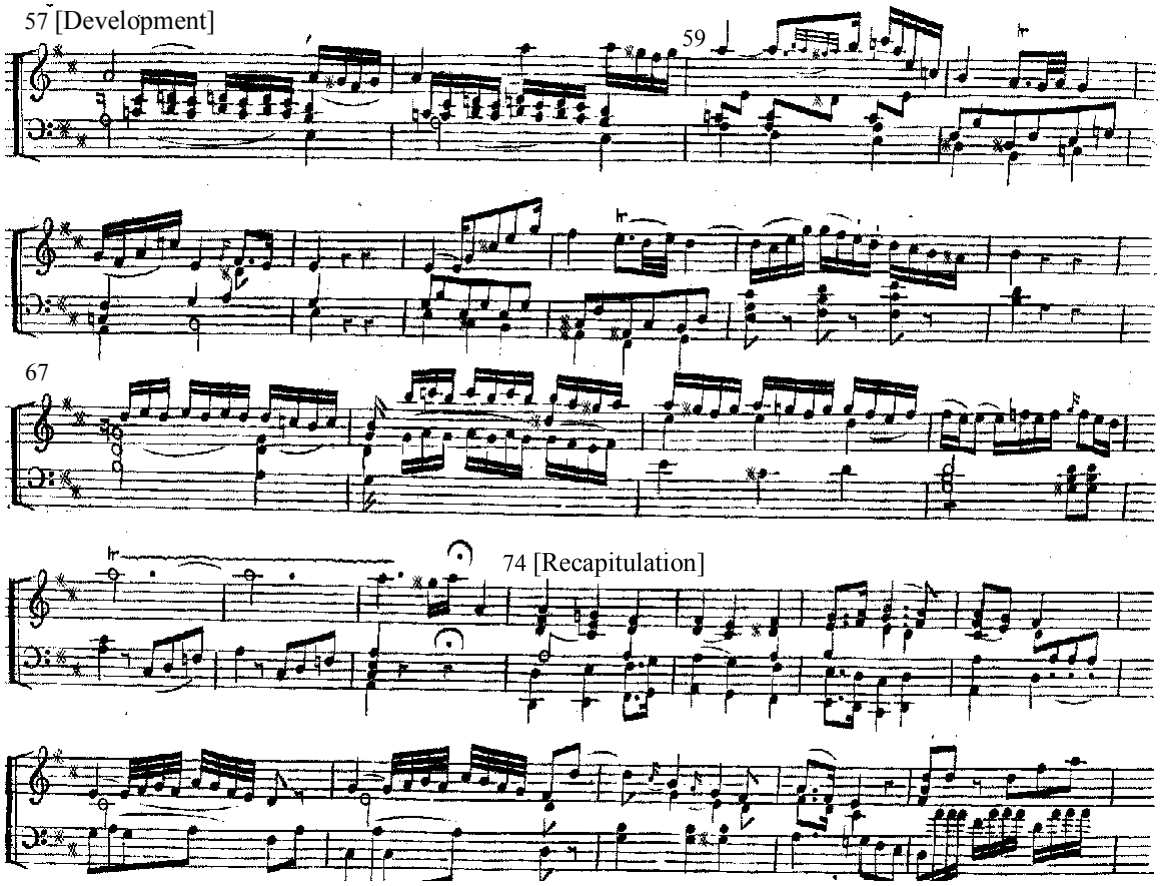
The theme of the slow movement was based on the overture to *La calamita de cuori* (before 1763) by Johann Christian Bach, Mozart's former mentor in London, who had died in January 1782. From Mozart's letters and the theme's setting, one can assume that he intended this Andante to be a memorial to the composer.[30] Both J. C. Bach's setting of the theme[31] and Mozart's (bar 74)[32] are shown in Example 98.

Example 98: Opening Themes by J.C. Bach and in Mozart's Piano Concerto, K. 414, II.
(a) Johann Christian Bach, Overture to *La calamita de cuori*, II., bars 1–4



[30] Mozart mentions, "I suppose you have heard that the English Bach is dead? What a loss to the musical world! Now, farewell." See: Mozart, Anderson, and Schiedermair, *The Letters of Mozart & His Family*, vol. III, 1193.
[31] Johann Christian Bach, *La Clemenza Di Scipione,* And, Music from London Pasticci, ed. Ernest Warburton (New York: Garland Publishing, 1990), 94.
[32] Wolfgang Amadeus Mozart, *Piano Concerto K.414* (Vienna: Artaria, 1785), Plate 41.

(b) Mozart, Piano Concerto in A Major, K. 414, II. Andante, Dev. to Theme in Recap, bars 57–77



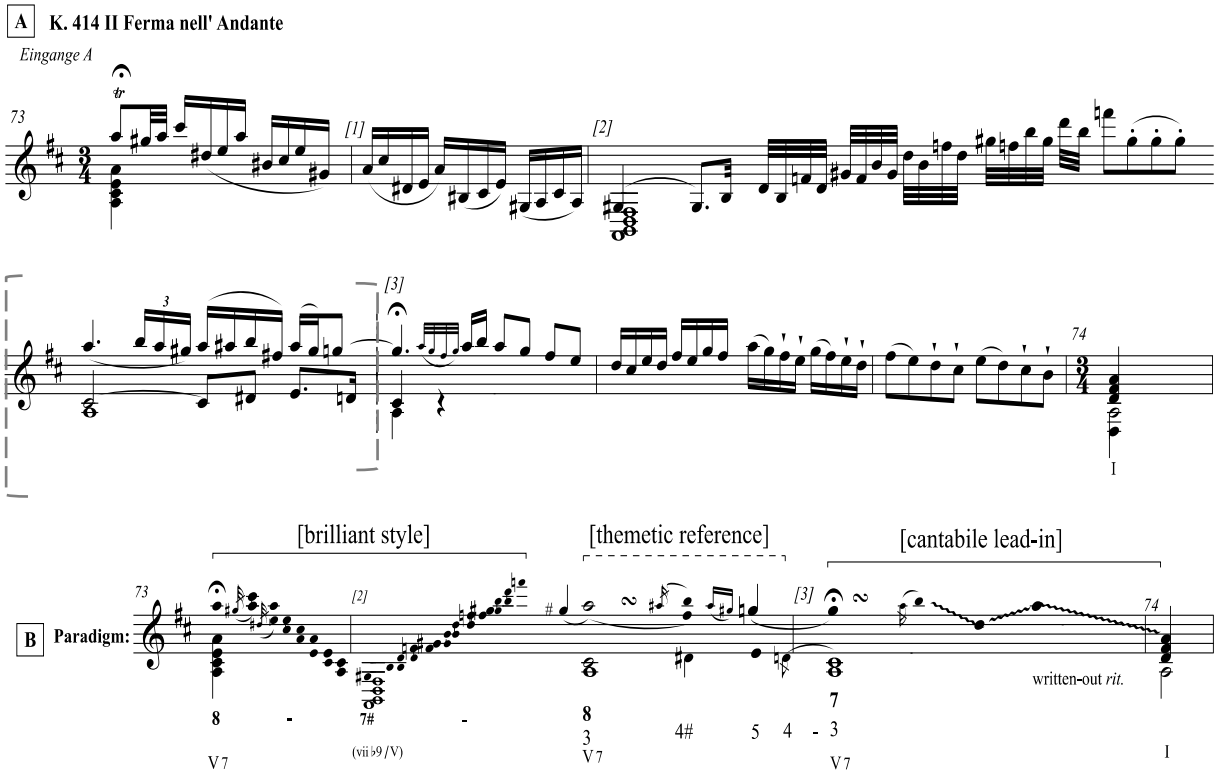
In the Andante, the second movement of K. 414, two passages include fermatas that indicate *ad libitum*, denoting a place for performers to improvise. Since this concerto was published, Mozart wrote out the *Eingänge* and cadenzas for players who could not improvise them. In fact, there are two different *Eingänge* and two cadenzas written out in the slow movement. The fermata sign for the *Eingang* is located at the end of the development on the dominant (resembling the connective caesurae between retransition and refrains within the piano sonatas discussed in Chapter One), during which the soloist sustains a right-hand trill; an *Eingang* then connects this trill to the solo recapitulation. The cadenza is placed after the recapitulation on the tonic six-four chord before the tutti enters in the coda (see Figure 24).

Figure 24: Piano Concerto in A Major, K. 414, II. Andante, Form Analysis

	Rit.	Expo.		Dev. (bar 57)		Recap (bar 74)			(bar 99)
	R1	S1	R2	S2	*EINGANG*		R3	CADENZA	R4
key	I	I –V- V	V	v	V - vii°9/V – V7 ⟶	I	I	I $\frac{6}{4}$ ⟶	I

The two versions of the *Eingänge* that were written out for the K. 414 Andante are reproduced in Example 99a and 106a. In *Eingang* A, the first part features two fast, brilliant, and fragmented passages on the dominant key (V^{+7} and vii°9/ V), while the lyrical second part occurs on the dominant seventh chord in bar 3. These two parts are connected by a decorative melody that echoes motivically with bar 59 (marked with dashed brackets in Ex. 99a).

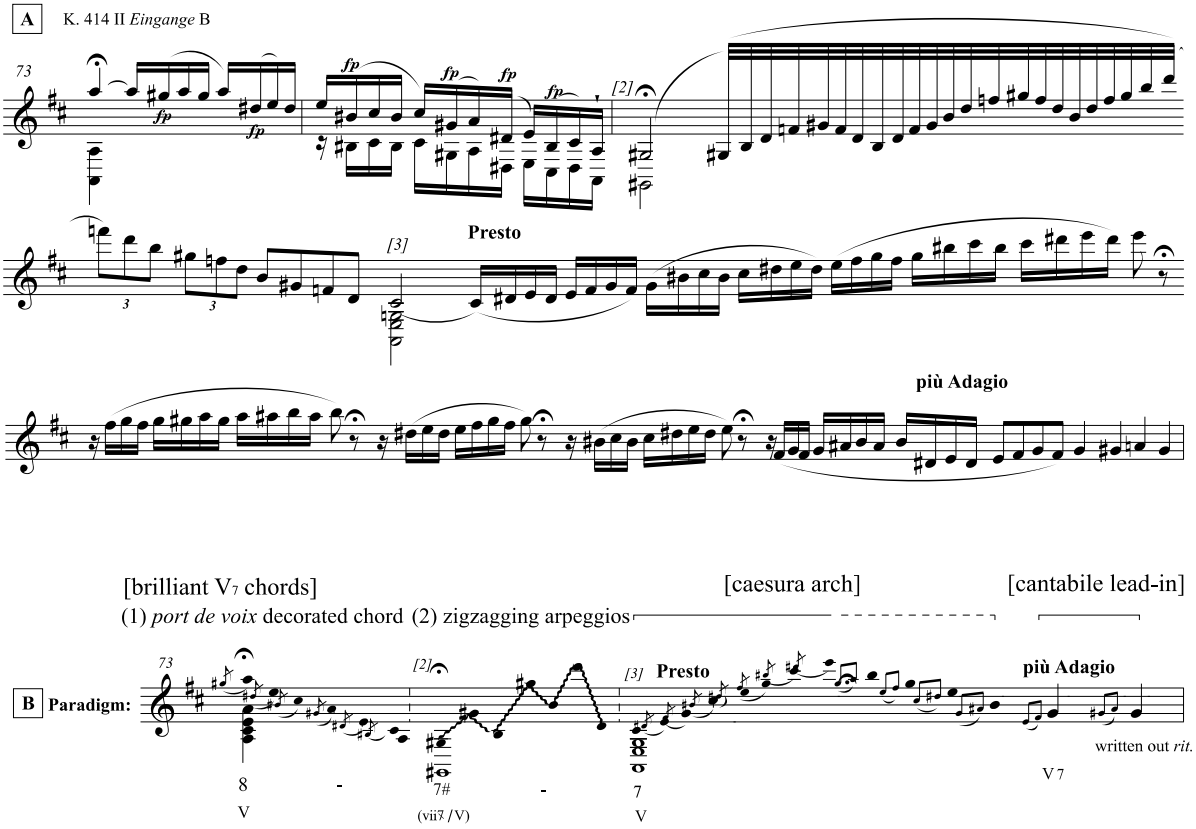
Example 99: Mozart, Piano Concerto in A Major, K. 414, II. Adagio, *Eingang* A



In *Eingang* B, the first two figurations are in the dominant key (with the G-sharp). After the dominant-seventh chord (with the G-natural) in bar 3, Mozart uses the tempo marking Presto for energy initiating with unceasing sharpness on the ascending *port de voix*, which motivically refer to bars 67–68, until interrupted by fermatas. The following descending fragments provide gradually diminishing energy when Mozart writes in successive fermata signs, which suggest a descending motion *a pausa generalis*. This Presto reinforces the energy-gain to energy-loss plan.

The più Adagio continues with the *port de voix* motif; however, the intensity is reduced by the tempo gradually slowing through the melodic augmentation—with lyrical decorative motion on 3 – 4 – 5, which can refer to cantabile style—which prepares for the recapitulation on the tonic (see Ex. 100).

Example 100: Mozart, Piano Concerto, K. 414 in A Major, II. Adagio, *Eingang* B

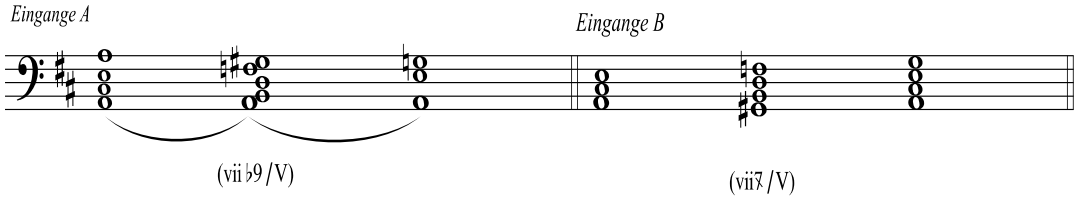


The idea of choice reinforces the notion of being spontaneous, as Quantz's suggests for performers:

> Cadenzas must stem from the principal sentiment of the piece, and include a short repetition or imitation of the most pleasing phrases contained in it. At times, if your thoughts are distracted, it is not immediately possible to invent something new. The best expedient is then to choose one of the most pleasing of the preceding phrases and fashion the cadenza from it. In this manner you not only can make up for any lack of inventiveness, but can always confirm the prevailing passion of the piece as well. This is an advantage that is not too well known which I would like to recommend to everyone.[33]

Of the two versions of the *Eingänge*, *Eingang* A is shorter in length. On the applied diminished chord, Mozart uses a diminished ninth in *Eingang* A; thus, the bassline lingers on the dominant note, A. In *Eingang* B, Mozart uses a diminished seventh while the bassline is stretched from A to G-sharp then back to A, creating a larger space (shown in Ex. 101).

Example 101: Diminished Chord in Bassline of *Eingänge*, K. 414, Andante



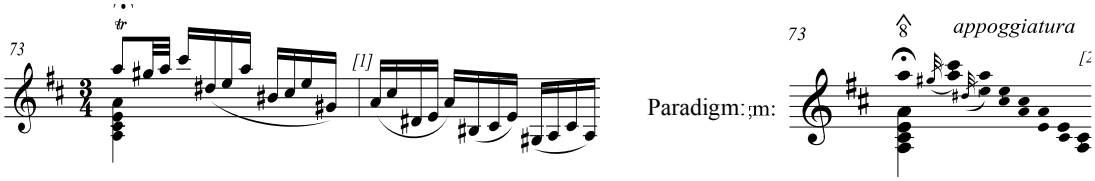
[Standing on the dominant/dominant expansion] [passing diminished color for expansion]

In terms of effect, *Eingang* A, in which Mozart uses an appoggiatura to decorate the first dominant chord, is gentler. In *Eingang* B, Mozart employs an accented appoggiatura and a mordent for a sharper effect (see Ex. 102).

[33] Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen*, 182.

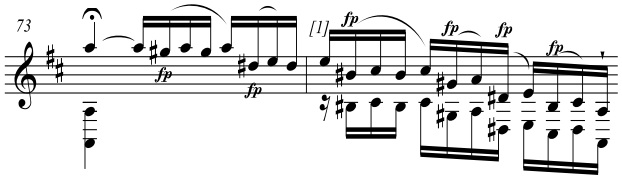
Example 102: Comparison of Dominant Decorations in *Eingang* A and *Eingang* B in K. 414, II.

Eingang A



[gentler effect with appoggiatura decoration]

Eingang B

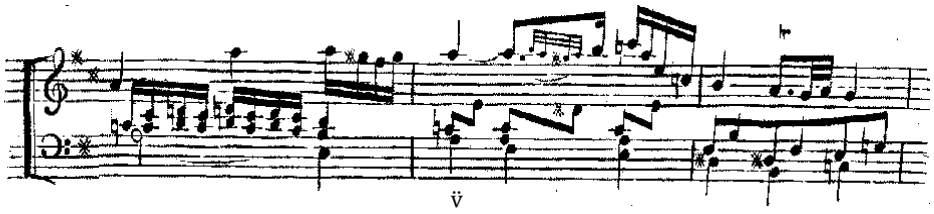


[An energetic motion propels the gesture in a different way, decorated by *port de voix*]

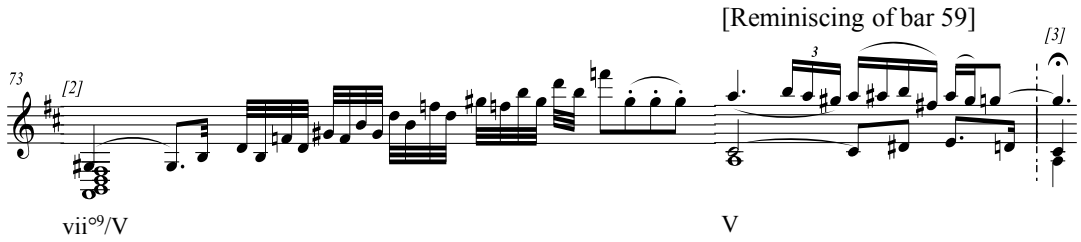
Mozart includes many beautiful reminiscences (melodic motifs from the concerto movement), especially the development section in minor that he often recalled in his *Eingänge* and cadenzas. In the more lyrical *Eingang* A, for instance, Mozart decorates the area after the diminished ninth chord with a descending third, and he includes an inserted fragment that recalls the expressive moment in bar 59 (see Ex. 103a and 103b). In *Eingang* B (see Ex. 103c), the diminished seventh chord is embellishing a zigzagging broken-chord, and Mozart prolongs it with a written out ritardando.

Example 103: Comparison of Diminished Chord Decorations in Two *Eingänge* from K. 414, II.

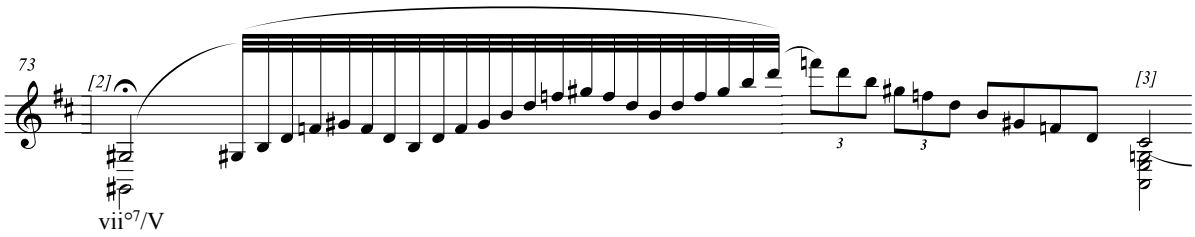
(a) Mozart, K. 414 II., development, bars 58–60



(b) Mozart, K. 414 II., *Eingang* A, second fragment on diminished chord



(c) Mozart, K. 414 II., *Eingang* B, second fragment on diminished chord



Two kinds of *Eingang* schemas are displayed in the Andante of Concerto K. 414. *Eingang* A presents a brilliant to cantabile two-part schema: to be specific, with two dominant piers on brilliant figurations to an energy-releasing cantabile passage (which is connected by an insertion of brief motivic reference).[34] Whereas in *Eingang* B, after two brilliant passages on dominant piers, an arch-shaped energy gain to energy loss presents, followed by a cantabile lead-in marked più Adagio.

The *Eingang* in the second movement of Piano Concerto K. 415 has a similar schema. It

[34] In cadenzas, the brief motivic reference often develops into a full middle section. The middle section motivic reference will be discussed later in Part III.

was printed in 1785 in Vienna as op. 4, no. 3, and was published with concerti K. 414 and K. 413 as op. 4, nos. 1 and 2, respectively. This Andante has vocally-inspired floating cantilenas that are imbued with calmness. It blends the aria tradition with concerto ritornello format in which the composer dramatically alternates the tuttis and solos (see Figure 25). This movement also lacks a modulatory development section. Composers often choose not to include developments in such structures, especially in slow movements.[35]

Figure 25: Piano Concerto in C Major, K. 415, II. Andante, Form Analysis

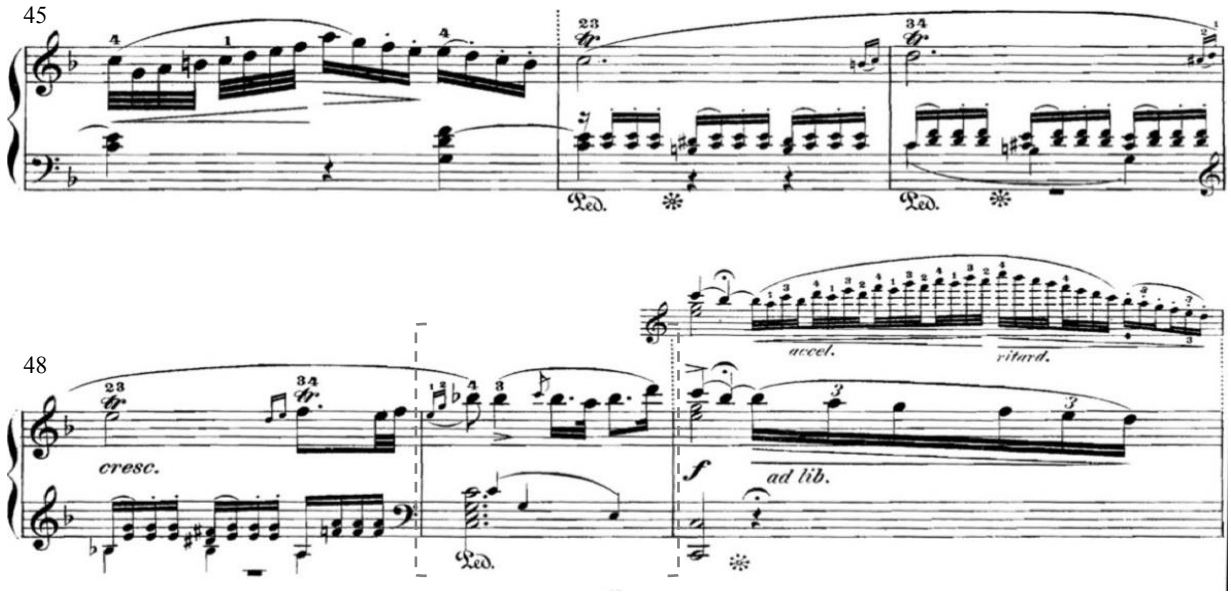
	Rit.	Expo. (bar 37)		Recap (bar 51)		(bar 85)	(bar 86)
	R1	S1	*EINGANG*		R2	CADENZA	Coda
Key	I	I–V	V_7 – ♆ –V_7 ⟶	I	I	Cad $\frac{6}{4}$ ⟶	I

In his preface to the *Instructive Edition of the Classical Pianoforte Works*, nineteenth-century pianist and pedagogue Sigmund Lebert describes the *Eingang* space as a lead-in to the recapitulation that contains a brief passage.[36] His description is similar to how I describe these connective caesurae in the piano sonatas in Chapter One. In fact, in his own piano reduction, shown in Example 104, instead of scoring it with Mozart's own cadenza, Lebert uses connective fills like those in the piano sonatas. This reinforces the aforementioned point that a brief improvised passage can be suitable for an *Eingang* when the composer does not write one. Compared to Lebert's caesura-fills and Mozart's written-out *Eingänge*, Mozart's written-out one shows a structural and harmonic coherence. For instance, in the *New Mozart Edition*, Mozart's written-out *Eingänge* include brief touches on the F-minor chord (in the second fragment), which compensate for the fact that he writes an unpretentious romance as the F-Major Andante instead

[35] As in the second movement of Mozart's concerti, K. 467 and K. 449.
[36] Wolfgang Amadeus Mozart, *Piano Concerto K. 415*, second movement, piano part, arr. Ignaz Lachner and ed. Sigmund Lebert (Stuttgart: Cotta, 1881), Plate 67 (Leipzig: C.G. Röder).

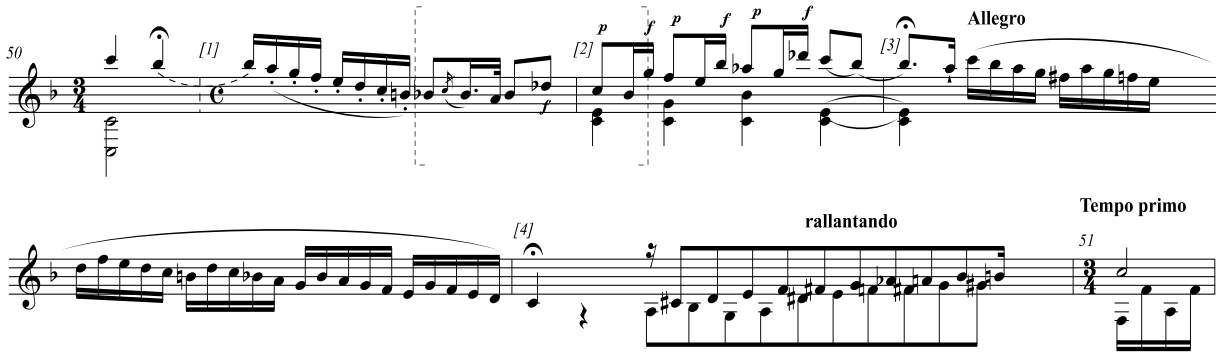
of a minor-key slow movement. A structural *Eingang* can reflect the whole movement, making the piece more fulfilling.

Example 104: Mozart, Piano Concerto in C Major, K. 415, II. Andante, 1881 Edition, bars 45–50



Mozart's written-out *Eingang* for the second movement of Piano Concerto K. 415 shows schemas similar to what I have mentioned earlier. After the descending scale in the dominant, a brief melodic reference repeats the pre-*Eingang* passage (the dashed bracket in Ex. 104 shows a melody that is one octave lower than bar 49 in Ex. 105). Mozart seamlessly develops the last three notes from this melodic reference and into a rising rallentando with forte support. The virtuoso Allegro followed by a rallentando corresponds to the fast-to-slow two-part plan (see Ex. 105).

Example 105: Mozart, Piano Concerto in C Major, K. 415, II., Andante, *Eingang*

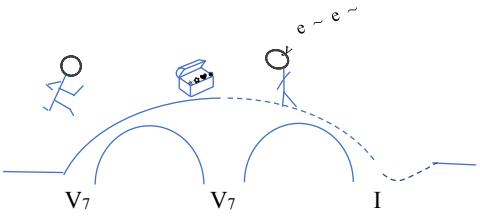


Thus, following Mozart's written-out *Eingänge*, schemas are revealed that are based on a two-part plan (see Figure 26a): a retransition-like fast, virtuoso, and energy-gaining passage that elaborates on the dominant seventh, followed by an expressive singing gesture that releases the tension and leads back to the tonic, sometimes marked *adagio* or *andante*; Occasionally, a brief motivic reference might be inserted.[37] This simple two-part plan can be varied by unexpected brilliant figurations on dominant piers, depending on whether the energy gain to energy loss arch is present, and what kind of cantabile lead-in there is that corresponds to the effect of the returning refrains (see Figure 26b). A slow movement is the best place to start when practicing schema formation due to the sensitivity with which the performer must choose gestures and execute appropriate articulation in the cantabile style. Performers must choose ornaments that enhance the melody and also need to include intervals that enhance the expression. Moreover, the structural brevity that the "one breath" rule imposes provides a good boundary within which to practice the ability to express oneself through improvisation with simplicity and conciseness.

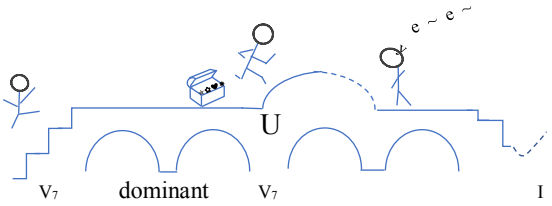
[37] Occasionally, Mozart uses a motivic reference in his *Eingänge.* Compared to a full length motivic development in his cadenzas, a brief motivic reference highlighting the ornaments or rhythmic feature sometimes appears before the cantabile section, as shown in Figure 4.

Figure 26: Visualization for *Eingänge* in Slow Movements of K. 414 and K. 415

a. Two-Part Schema:
Fast-to-Slow/ Brilliant to Cantabile
[caesura arch to cantabile]



b. Elaborated Two-Part Schema:
[brilliant dominant seventh chords
and caesura arch + cantabile lead-in]



Note:  picture refers to a thematic treasure box, sometimes appearing between the two parts of the schema.

CHAPTER EIGHT: MOZART'S WRITTEN-OUT *EINGÄNGE* IN PIANO CONCERTI

Table 7 lists the written-out *Eingänge* in Mozart's piano concerto movements. These sixteen examples show Mozart's careful compositional craft, with his tendency toward the use of special effects, wit, and an exquisitely elegant use of dissonant intervals. These examples consist of stylistic patterns and similar figurations that provide specimens for improvisation. They are usually constructed of passagework that lingers on the dominant and contain unnoticeably brief or no references to the thematic material.

Table 7: Mozart's Written-out *Eingänge* in Piano Concerti

Major	Second Movement	Third Movement Rondo	Year
C		K. 246 III Rondo: Tempo di Menuetto	1776
		K. 415 III Rondo: Allegro (sonata-rondo) [1st *Eingang* and 2nd *Eingang*]	1782 –83
D	K. 414 II, Ferma ne'll Andante [*Eingang* A and *Eingang* B]	K. 414 III Rondo: Allegretto (sonata-rondo)	1782
F	K. 415 II Andante	K. 459 III Allegro assai (Rondo)	1784
B-Flat		K. 450 III Allegro (Sonata-Rondo)	1784
		K. 595 III Allegro (Rondo)	1791
E-Flat		K. 271 III Rondo Presto [6 *Eingänge*]	1777

We have discussed improvisatory passages in caesurae links and the stylistic figurations with their harmonic plan in slow movements and how Mozart spontaneously uses stylistic elements to enhance his musical ideas.

Rondo

We have already considered two written-out *Eingänge* in Mozart's slow movements K. 414 and K. 415; the other *Eingänge* are in the third movement Rondos. The Rondo movement in each piano concerto is bright and cheerful—when improvising, the performer's thoughts should match the main character of the composition. Mozart customarily chose the key and character for the Rondo in a variety of genres and cultivated a wide range of structures, often by appending long closing groups. A cheerful Rondo movement features music in the Galant style, full of schemas of the type Robert Gjerdingen defines.[1] Following this stylistic principle, the space left before the fermata should not contain too many intentionally added difficulties, such as technically challenging wide-interval leaps or passages full of dissonances.

Rondos feature connective caesurae that move the listener away from the refrains and toward episodes, as well as links that move the listener back to the refrains and away from the episodes; these are called transitions and retransitions, respectively. These transitions and retransitions feature spontaneous elements in much the same way that the caesurae fills do in the piano sonatas.

Rondo Minuet

According to Ratner, the minuet was "originally associated with the elegant world of the court and salon and was described as noble, charming, lively, and expressing moderate cheerfulness by virtue of its rather quick triple time."[2] In one of Mozart's letters to his father in 1777, he describes the minuet in court life in Salzburg and reminisces:

---

[1] Gjerdingen provides various schemas for *partimenti* characteristic of the eighteenth-century music for courtly chambers, chapels, and theaters. See: Robert O. Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007).

[2] Leonard G Ratner. *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1985), 10.

"Yesterday, Sunday, October 5th, we had a religious wedding in this house and there was dancing. I only danced four minuets and by eleven o'clock I was back in my room, for among fifty ladies there was only one who could keep in time; and that was Mlle. Käser, a sister of the secretary of that Count Perusa who was once in Salzburg."[3]

As mentioned earlier in Chapter Three, the development of light devices such as magic lantern shows (Figure 15, the Lantern Projection) and comparable *chiaroscuro* effects in oil paintings, show a stage-like spotlight effect. This effect also appears in the oil painting of Minuet dance scenes by Venetian Giovanni Domenico Tiepolo (1696–1770) in Figure 27.

Figure 27: Oil on Canvas, *Scène de Carnaval ou Le menuet*, Giao Domenico Tiepolo, Musée du Louvre[4]

[3] Mozart, Anderson, and Schiedermair, *The Letters of Mozart & His Family*, vol. III, 298–99.
[4] Giao Domenico Tiepolo, *Scène de Carnaval ou Le menuet*, oil on canvas, 75.6 x 120 cm. Inventory Number: RF1938-100, Musée du Louvre. Publisher: the Images d'Art Website, accessible at http://art.rmngp.fr/en/library/artworks/gian-domenico-tiepolo_scene-de-carnaval-ou-le-menuet_huile-sur-toile-34b73056-92ac-49b8-bcc5-8ea8a24a0601.

In his description for the Metropolitan Museum of Art, Keith Christiansen says:

> …with its genial departures from convention and its brilliant use of costumed splendor, celebrates the notion of artistic caprice (*capriccio*) and Fantasy (*fantasia*)…he collaborated with a specialist in perspective, Girolamo Mengozzi Colonna (1688–ca. 1766), who also occasionally designed sets for opera. Colonna's perspective framework for Tiepolo's frescoes is crucial to understanding the eighteenth-century notion of painting as a staged fiction—something intended to involve the viewer on a purely imaginative level. This was in line with theater practice of the day—especially opera.[5]

The lady in the yellow dress in Tiepolo's painting stands out from the crowd, improvising in the Minuet: an *Eingang*, a solo capriccio passage, wins a moment of stage spotlight in the musical carnival.[6]

The minuet was extremely popular during this period; for instance, twelve out of thirty-two pieces in Leopold Mozart's *Notebook for Wolfgang* are minuets. In concerto movements, it is frequently used as a finale. The extra-musical connotations that permeate these concerti lend the minuet special significance. In Mozart's rondo movement (iii) from the Concerto in C Major, K. 246, for instance, the inclusion of topics may refer to the court and the military (see Table 8). This was a lifestyle to which Countess Lützow, for whom Mozart wrote in 1776, was very accustomed.

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[5] Keith Christiansen, "Giovanni Battista Tiepolo (1696–1770)." In *Heilbrunn Timeline of Art History* (New York: The Metropolitan Museum of Art, October, 2000), accessed March 10, 2018, http://www.metmuseum.org/toah/hd/tiep/hd_tiep.htm.

[6] According to the description by Everett Fahy for the MET in 2005, this painting is about "A traveling troupe of Commedia dell'arte," an improvised comedic theatre form that flourished in Italy in the 1500s and their actors, "entertains a party of Venetians enjoying a summer holiday on the mainland. Such performances often ended with a minuet, depicted here…the only actors in the troupe who did not wear masks. Recognizable in the crowd of onlookers are other Commedia dell'arte characters.", accessed March 10, 2018, https://metmuseum.org/art/collection/search/437812

Table 8: Topical Content of the Refrain and the B Episode in the Third Movement Rondo of the Piano Concerto in C Major, K. 246

Rotation 1[7]

	A	B_1	B_2	B_3	B_4	Trans.
Bar		24	39	47	66	74
Topic	Minuet S+R	Opera S	Fanfare	Marches in winds	Lyrical Alberti	Piano recitative
Key	I (CM)	I -V				V - I

Rotation 2

	A	C_1	C_2	Dev.	Retrans.	
Bar	84	113	139	151-176	182	193
Topic	Minuet S+R	Expressive syncopation	Expressive Alberti	Dev. C_1+B_1	Tutti	***Eingang***
Key	I (CM)	vi (am)	v/vi (em)	vi (am)	I	V_7

Rotation 3 Rotation 4

	A	Dev.	B'_1	B'_2	B'_3	Trans.	A	Coda
Bar	194	210 [214]	227	238	246	265	273	289
Topic	Minuet S+R	B_1 + Insertion (elegant triplets with broken chord accompaniment)	Opera	Fanfare	Marches	Brilliant	Minuet in *Triplet S+R	Tutti
Key	I	IV (F)	I				I	

Thus, while the minuet topic prevails in the refrains, the fanfare and brilliant styles predominate in the Rondo. The topics presented in the episodes may suggest a Salzburg serenade: the operatic style in bar 28, the fanfare style that modulates to the dominant in bar 39, and the trumpet marches are all topics with which Salzburg audiences would be familiar (see Ex. 106).

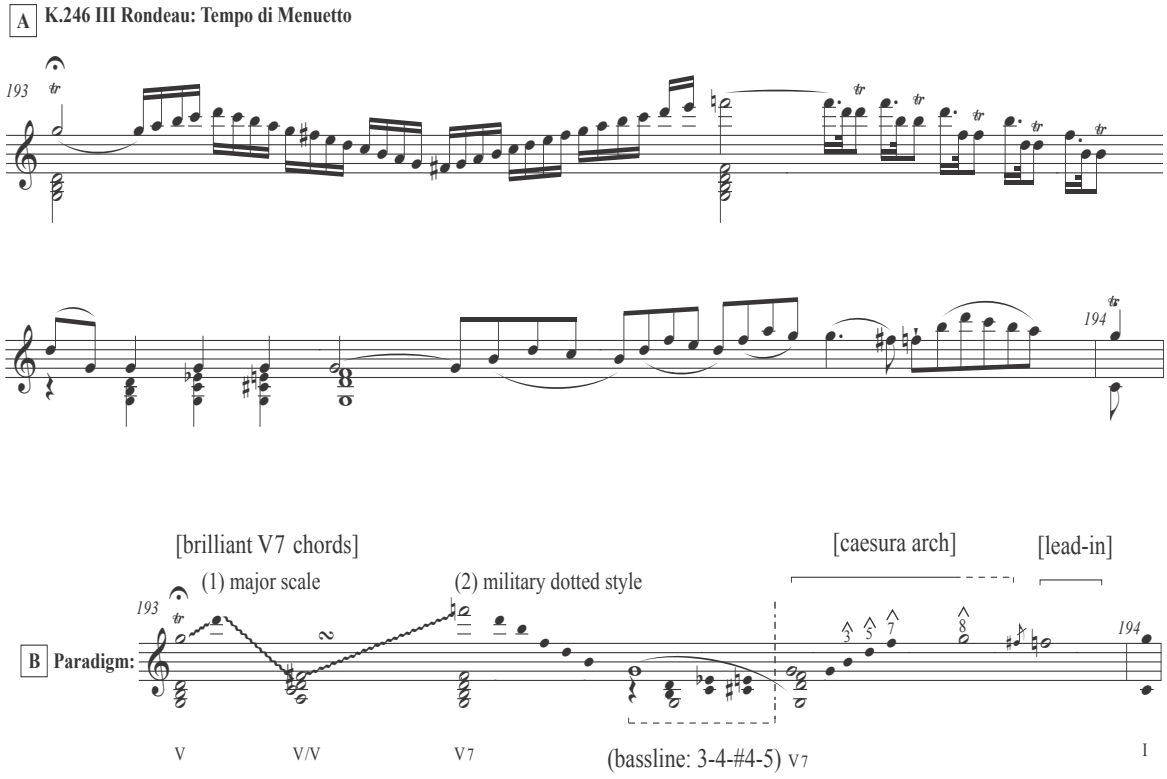
The *Eingang* of the Rondo in K. 246 unfolds in a two-part schema. The first part contains fragments on the dominant: a simple scale and a turn-decorated scale show the brilliant style that

[7] In their *Elements of Sonata Theory*, Hepokoski and Darcy treat the thematic layouts of development sections as adhering to the principle of "rotation," which they explain and define as follows: "Rotational structures are those that extend through musical space by recycling one or more times—with appropriate alterations and adjustments—a referential thematic pattern established as an ordered succession at the piece's outset". James A. Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), 611.

reflects the C major key, and this is followed by a trill-decorated broken chord over a military dotted rhythm. The chords' inner voices then move in upward chromatic motion to set up the second part in the cantabile style. The applied dominant chord used for dominant expansion makes this *Eingang* gentler than one that might contain a diminished chord, and this gentleness reflects the character of the minuet as a whole.

Mozart's use of figuration corresponds to the courtly and elegant fanfare style; as shown in Example 106, the theme of the Tempo di Minuet consists solely of broken chords and rising thirds (in bar 39). This movement appears to be naive in a civilized and polite way. Example 106b shows a two-part plan schema of *Eingang* in third movement of K. 246: first part features fast figurations on dominant piers which feature different characters, then followed by the second slow part, a caesura arch that finishes with a cantabile lead-in.

Example 106: Mozart, Concerto in C Major, K. 246, III. Tempo di Menuetto, *Eingang*



Two-Part Schema: *Eingänge* of Viennese Concerti, K. 415 and K. 414

The two-part plan schema also shows in his *Eingänge* of Viennese Concerti K. 415 and K. 414. In 1781, Mozart decided to abandon the security of his court appointment in Salzburg for a freelance career in Vienna. There he started a new life by teaching, arranging, composing, and performing as a soloist, all in a manner calculated to please the local audience, connoisseurs, and amateurs from whom Mozart hoped to realize a profit. During his time in Vienna, he wrote a series of piano concerti, K. 413, K. 414, and K. 415. In a letter to his father from December 1782, Mozart describes these three concerti as "…a happy medium between what is too easy and too difficult; they are very brilliant, pleasing to the ear, and natural, without being vapid."[8] Written-out *Eingänge* from Mozart's Viennese years are available for examination in the third movements of K. 414 and K. 415. Both are fast movements, marked Allegro in 6/8 and Allegretto in 2/4, respectively, and both have been categorized within sonata-rondo form.

As previously mentioned, the character of the glorious C major concerto, K. 246, is particularly suitable to call forth military associations in Mozart's music. Military connotations feature dotted rhythms, unadorned flourished triadic sonorities, maestoso tempi, and melodic ideas sometimes presented by the horns and trumpets. In the concerto, K. 415, the marching style also appears and is supported by trumpets and timpani. This Concerto in C Major was composed in 1782–83, and Mozart was soloist for the premiere on March 23, 1783. Compared to the earlier concerto Rondo movement also in C major, K. 246, the Rondo in K. 415 is formally unique and unconventional. After starting with a C major theme in the Galant style, two C minor Adagio sections suddenly emerge, and these create a dramatic effect. The C minor sections show reminiscences of the Andantino second movement in C minor from the Piano Concerto, K. 271,

[8] Ibid., 1242.

which was composed in 1777. Rather than keeping with his original plan to use c minor for K. 415's slow movement, Mozart replaced it with a lighter F major and saved the C minor effect for the third movement. Hepokoski and Darcy categorized this Rondo as a sonata-rondo form and describe it as "an elegantly styled, seemingly carefree surface that engages substantial ambiguity."[9]

Eingang in Piano Concerto in C Major, K. 415 Rondo

Table 9 shows an analysis of topical content within the K. 415 Rondo. After the sprightly Galant theme in 6/8 time, Mozart includes two distinct tunes containing lyrical descending lines and casual dance-like melodies, marked A_1 and A_2. The first refrain closes with a military-style orchestral tutti, featuring horn and timpani, which comes to a half cadence. After a short pause on the fermata, an Adagio in c minor in 2/4 time enters surprisingly and transforms the bright Rondo theme to one full of pathos. The retransition contains a cadential trill gesture, which suggests a space to come for improvisation. Since this concerto was written for amateurs and students, Mozart not only writes out *Eingänge* but also uses the fermata to suggest opportunities for spontaneous, connective caesura-fills.

The second rotation starts again after the Galant theme, with the same melodies marked A_1 and A_2 appearing again, but now in the keys of G and D, followed by a new sweet and joyful Allegro idea in G (marked C in Table 9). Later, after the joyful material develops and lingers over the circle of fifths, a trill-decorated retransition brings the first *Eingang* to the dominant seventh chord.

[9] Hepokoski and Darcy, *Elements of Sonata Theory,* 423.

Table 9: Mozart, Piano Concerto in C Major, K. 415 III., *Eingänge*, Topical Content

Rotation 1

	A	A_1	A_2	Codetta	Trans.	B	Retrans.
Bar		17	31	40	48	50	61
Topic	Galant in 6/8	Smooth line	Casual dance	Military style: Horn + timpani and trill-like semitone gesture	[Fermata Pause]	Adagio 2/4	Trill+ [caesura-link]
Key	I (CM) PAC	HC	PAC	HC		i (cm)	HC

Rotation 2

	A	A'_1	A'_2	C	Retrans.	
Bar	65	72	92	101	116	122
Topic	Galant in 6/8	Smooth line	Casual dance	Allegro		***Eingang***
Key	I	I– V (G)	D (V/V)	V (G)		V_7

Rotation 3

	A	Dev.					Trans.	B	
Bar	123	139	162	174	183	192	211	216	231
Topic	Theme in 6/8	A''_1	Theme Frag.	Retrans.	A_1	C' Allegro	[Caesura-link]	Adagio 2/4	***Eingang***
Key	I (CM)	vi (am) ~		I	I i	I	HC	i (cm)	V_7

Rotation 4

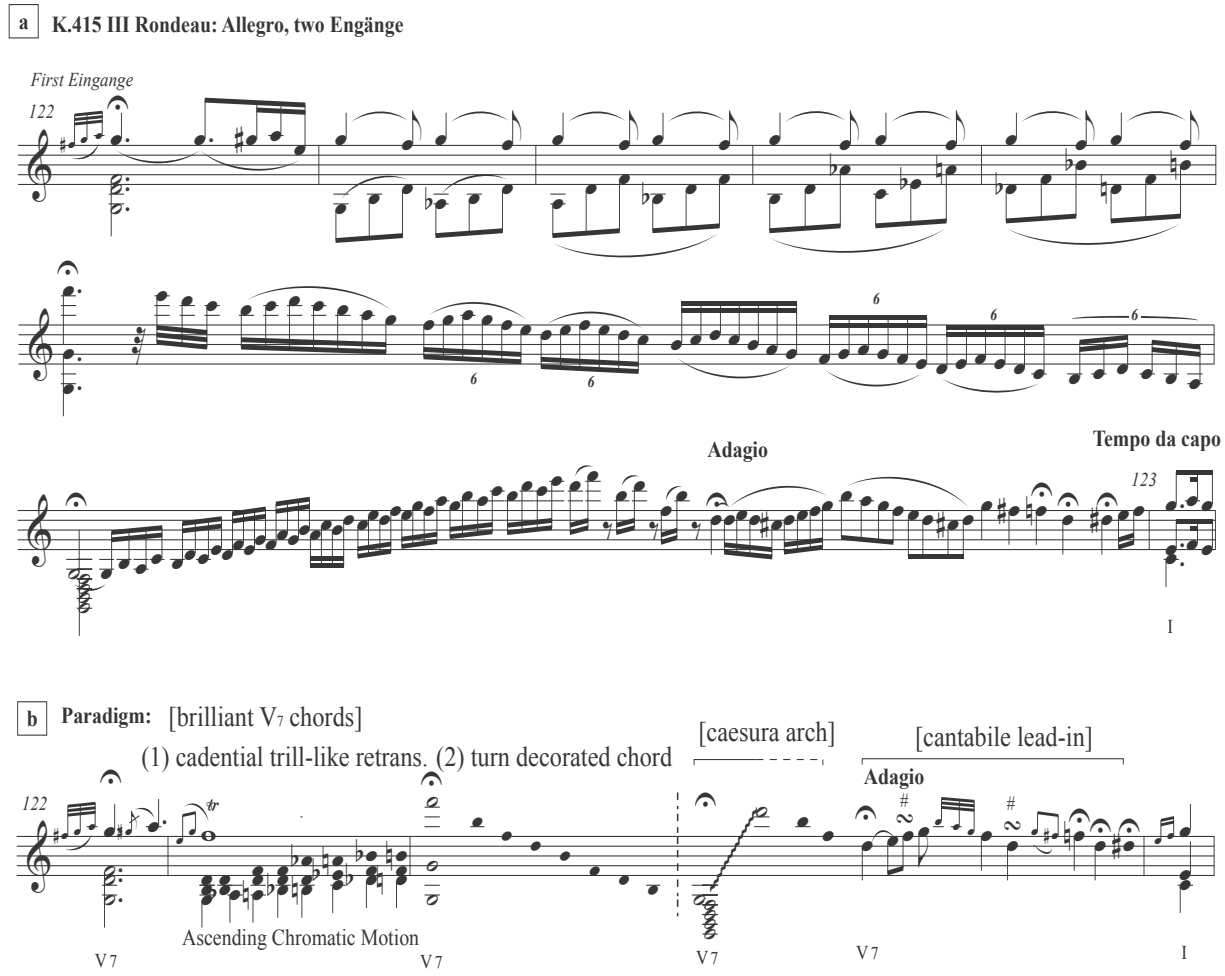
	A	Coda
Bar	232	239
Topic	Theme in 6/8	Trill pianissimo
Key	I	

Although thematic developments in the Rondo of K. 415 make the form ambiguous and thus, hard to categorize, the topical allusions to the brilliant style and the fanfare style in the triumphant, straightforward, and bright C Major key are still consistent in Mozart's two written-out *Eingänge* for this Rondo (see Examples 107 and 108).

The first *Eingang*, shown in Example 107, is divided into two parts. The first virtuoso part initially arrives on the dominant seventh while the turn decorates the melody on the dominant note, G. The embellishments on the dominant note then continue to the first improvisatory gesture: a chromatic ascending bassline with a cadential trill-like semitone motif

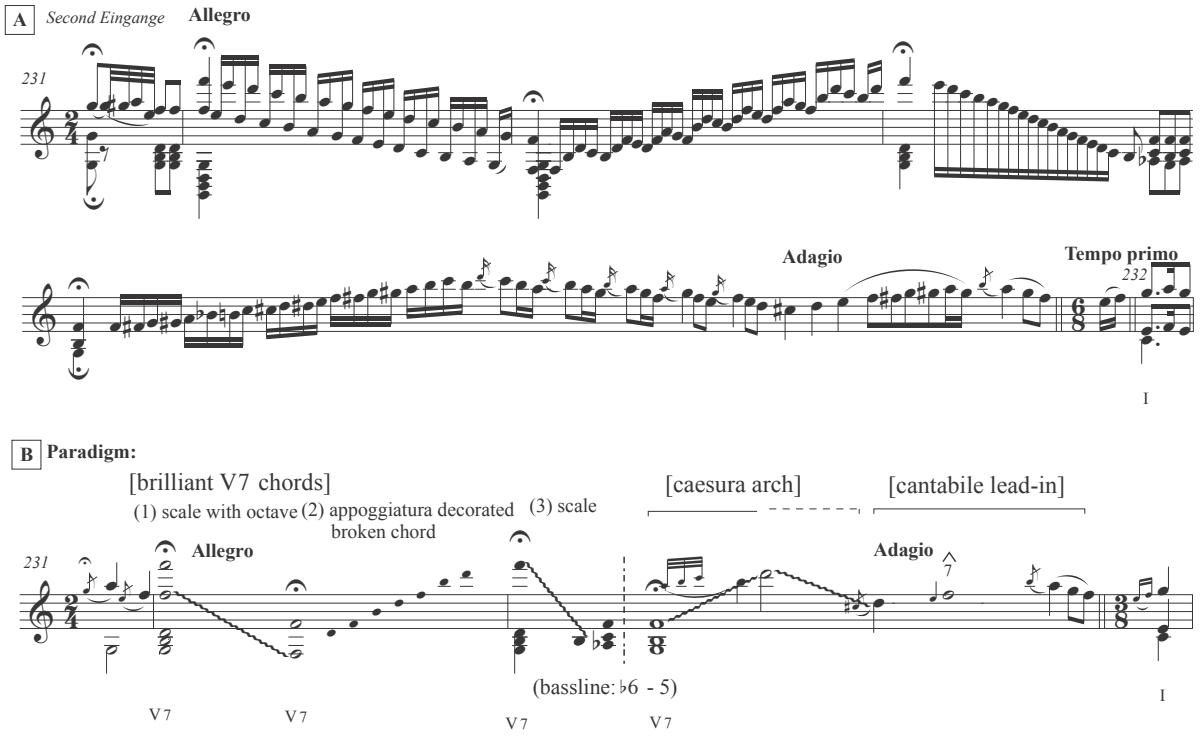
in the melody, which appeared earlier in the transitions in the movement. The second gesture that follows is the inverted turn-decorated scale idea in zigzagging motion that presents a brilliant style. The third embellishment, on the dominant seventh, is in the fanfare style, featuring broken chords on the third: broken chords often accompany a passage in the fanfare or brilliant style. Here, the energy that the broken thirds build up while crossing three octaves is released by three interrupting rests. The second part, marked Adagio, features smooth scales decorated by turns. This lyrical motion is repeated three times after fermatas, leading back to the refrain on the tonic.

Example 107: Mozart, Piano Concerto in C Major, K. 415, III. Rondo Allegro, First *Eingang*



The second *Eingang*, shown in Example 108, leads the Rondo back to its last refrain and displays more varieties in figuration (three characters shown in the brilliant first part compared to two in the first *Eingang*) while connecting these ideas with continuous ascending and descending motion. The first figuration shows a fanfare style in descending broken octaves, followed by ascending appoggiatura-decorated arpeggios outlining the dominant seventh. Then the brilliant major scale descends again and the chromatic scale unfolds in an upward motion. Finally, the first part of the *Eingang* finishes with an energy-releasing gesture of a four-note descending appoggiatura-decorated scale. (Mozart must have found this formula effective for he also uses this four-note descending decorated scale to release energy in the *Eingang* of K. 414's Andante.) The second part, in cantabile style and marked "Adagio", continues the up-down motion again and leads the movement back to the last appearance of the Galant theme with a coda.

Example 108: Mozart, Piano Concerto in C Major, K. 415, III. Rondo Allegro, Second *Eingang*



Two-Part Schema: *Eingänge* in Flat Keys, K. 459 and K. 595

Focusing on their figurations and schematic plans, the *Eingänge* in the Rondo movements from K. 459 and K. 595 share a similar design (see Table 10), a two-part schema that ranges from the brilliant style to the cantabile style. It starts with fast virtuoso figuration with a turn-decorated zigzagging scale. The dominant is extended by a short trill on the applied dominant of the subdominant sharp sixth in one measure. This figuration is repeated a second time one octave lower and is followed by the turn-decorated chromatic scale. The three-note descending stepwise motion releases the tension created earlier and connects to the second part on the cadence in the cantabile style.

Table 10: Schema comparison for *Eingänge* in the Rondos of K. 459 and K. 595, First Fast Part

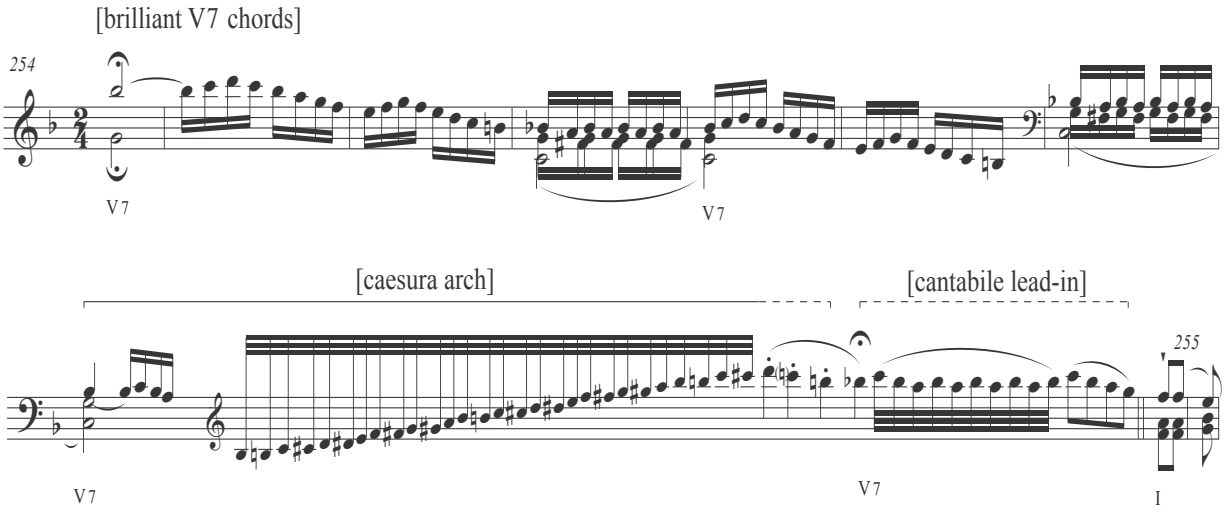
	First Part:				Second Part:	
	Brilliant/Virtuoso	Dominant Expansion			Caesura Arch	Cantabile Cadence
K. 459 Allegro Assai in F, 2/4	Turned zigzag scales	Trilled chord			Chromatic scale starting on the turn – three descending notes	Turn and Trill – lead-in using descending scale $\hat{5}$ - $\hat{1}$
	V_7	♯$iv°_6$ / V			V_7	
K. 595 Allegro in B-flat, 6/8	Turned zigzag scales "in two voices in octaves"	Broken chord	Arpeggio	Scale	Chromatic scale starting on the turn –three descending notes decorated by appoggiatura	Turn, trill, and scale –lead-in using broken dominant seventh chord $\hat{7}$-$\hat{5}$-$\hat{3}$ with pause.
B-flat	V_7	$vii°_7$ / V	V_7 / V	V	V_7	

The *Eingang* in the Rondo from K. 595 (6/8, written in 1791) is a more elaborate version of the one included in K. 459 (2/4, written in 1784). It opens with the same figuration as K. 459's

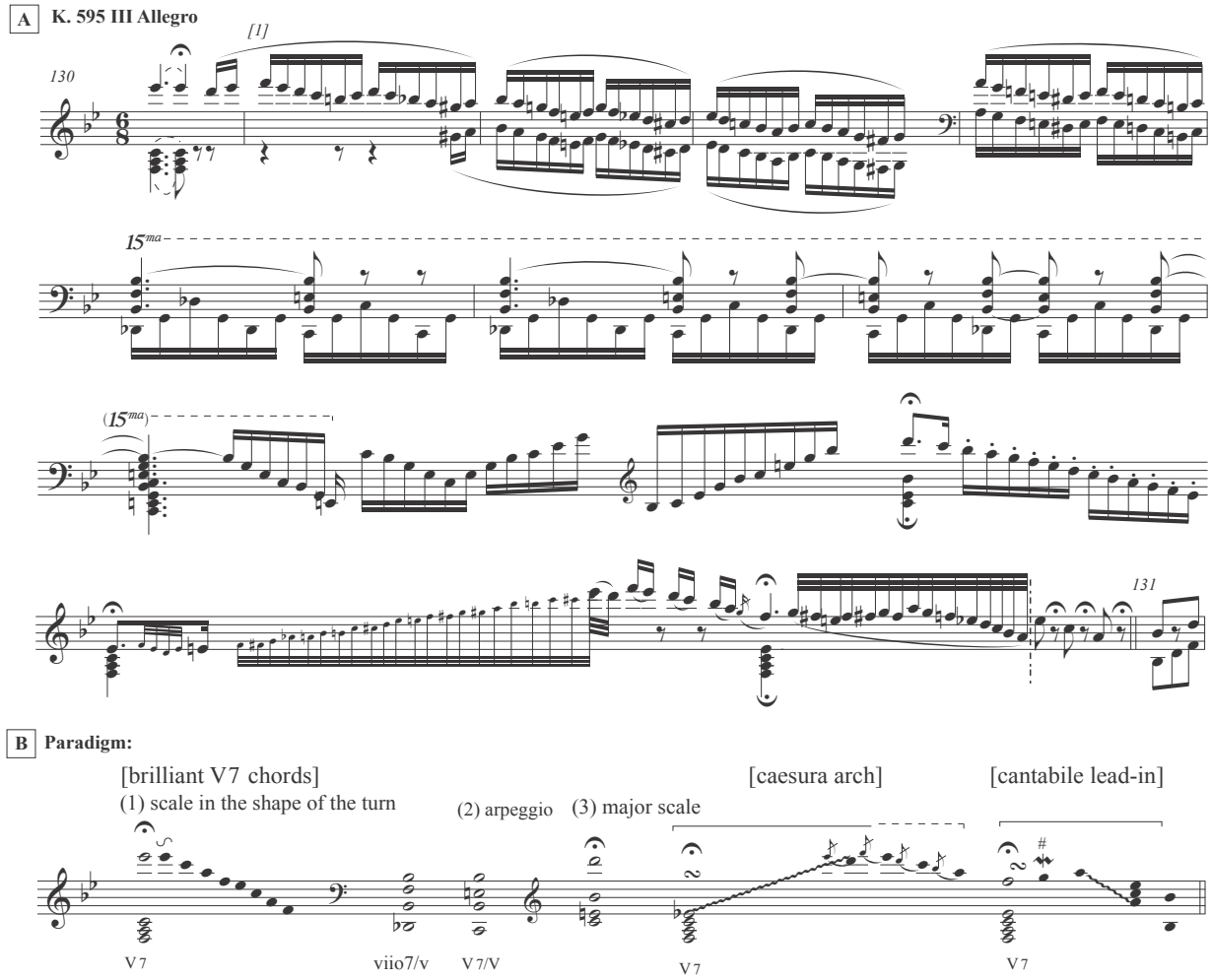
and adds a lower-octave passage afterward. The dominant is extended by a more dramatic arpeggio on the applied diminished seventh (see Ex. 109). The dramatic expression recalls the emotional extremes found in the German *Sturm und Drang* style. In K. 595 (see Ex. 110), Mozart inserts two more figurations to extend the dominant—the arpeggiated dominant seventh chords on the applied dominant and a final scale on the dominant.

The final figurations that release the tension in both *Eingänge* are built from the same chromatic scale that starts on the turn. This figuration represents one of Mozart's frequently used techniques for decorating a scale. It is followed by a slow, descending stepwise passage, which releases the tension. Mozart often uses appoggiaturas to create more variety during elaborations, as in these tension-releasing descending motions that set up the cantabile second part in Rondo from K. 595.

Example 109: Mozart, Piano Concerto in F Major, K. 459, III. Rondo, *Eingänge*: Two-Part Schema and Dominant Expansion



Example 110: Mozart, Piano Concerto in B-Flat Major, K. 595, III. Rondo, *Eingänge*: A More Dramatic Dominant Expansion using Applied Diminished Sevenths



Comparison of these two *Eingänge* shows two insightful models when planning an elaborate two-part schema; one develops a simple melody using ornamentation while another explores the harmony using the dominant expansion. When practicing these two examples, performers might exchange the keys to enhance the fingers' familiarity with Mozart's patterns; for instance, the F major effects, described by Charpentier as "furious and quick-tempered,"[10] appear to fit the shorter *Eingang* plan better.

[10] Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries,* 2nd ed. (Rochester, NY: University of Rochester Press, 2002), 39.

Caesura Fill, Cadenza, and *Eingang*: Piano Concerto, K. 414, III., Rondo

Another Rondo, the third movement of Piano Concerto in A Major, K. 414, is scored lightly, with just two oboes, two horns, and strings. Mozart also hoped to sell this piece for home performance in a version for string quartet. The Rondo finale in A Major is marked Allegretto and conveys a happy and elegant pastoral effect. Each rotation within the movement is linked by different connective links: the connective fill, a cadenza, and an *Eingang* (see Ex. 111).

The Rondo is built on a number of themes and its formal structure is as eccentric as that of the K. 415 Rondo discussed earlier. The orchestra starts in 2/4 time and briefly introduces three motifs marked in Table 11 as a, b, and c. The first is a joyful skipping tune decorated by trills, followed by a unison passage with mellow tone quality in the middle and low register containing a repeated motif of three notes descending by step. The piano enters with a simple song tune that stands out on its own with an Alberti bass accompaniment in the left hand.

In this concerto, the themes merge with contrapuntal complexity and fit into a seemingly light frame. The three-note motif (marked A_b in Table 11) slithers its way throughout much of the remaining exposition, first in the transition in bar 38, but, remarkably, it becomes the main motif in bars 56–80. Instead of having the opening joyful skipping tune decorated by trills (A_a), this time, the third rotation starts with the lyrical tune motif with an Alberti bass accompaniment (marked A_c). The missing motifs a and b make this rotation shorter; thus, the *Eingang* that follows and connects to the relatively short coda is responsively brief.

Table 11: Topical Content, *Eingänge* in Piano Concerto in C Major, K. 414, III.

Rotation 1:

	A_a	A_b	closing	A_c	Trans.	B	Dev.	Retrans.
Bar		8	16	21	38	50	55-64-71	80-84-87
Topic	Trill-decorated light Galant idea in 2/4	Three-note motif	Fanfare	Song with simple Alberti bass	A_b	Bird-call	A_c + A_b and cadential trill	[**Caesura-link**]
	R			S				
Key	I (AM) PAC	HC	PAC	PAC		BM	(EM)	HC

Rotation 2

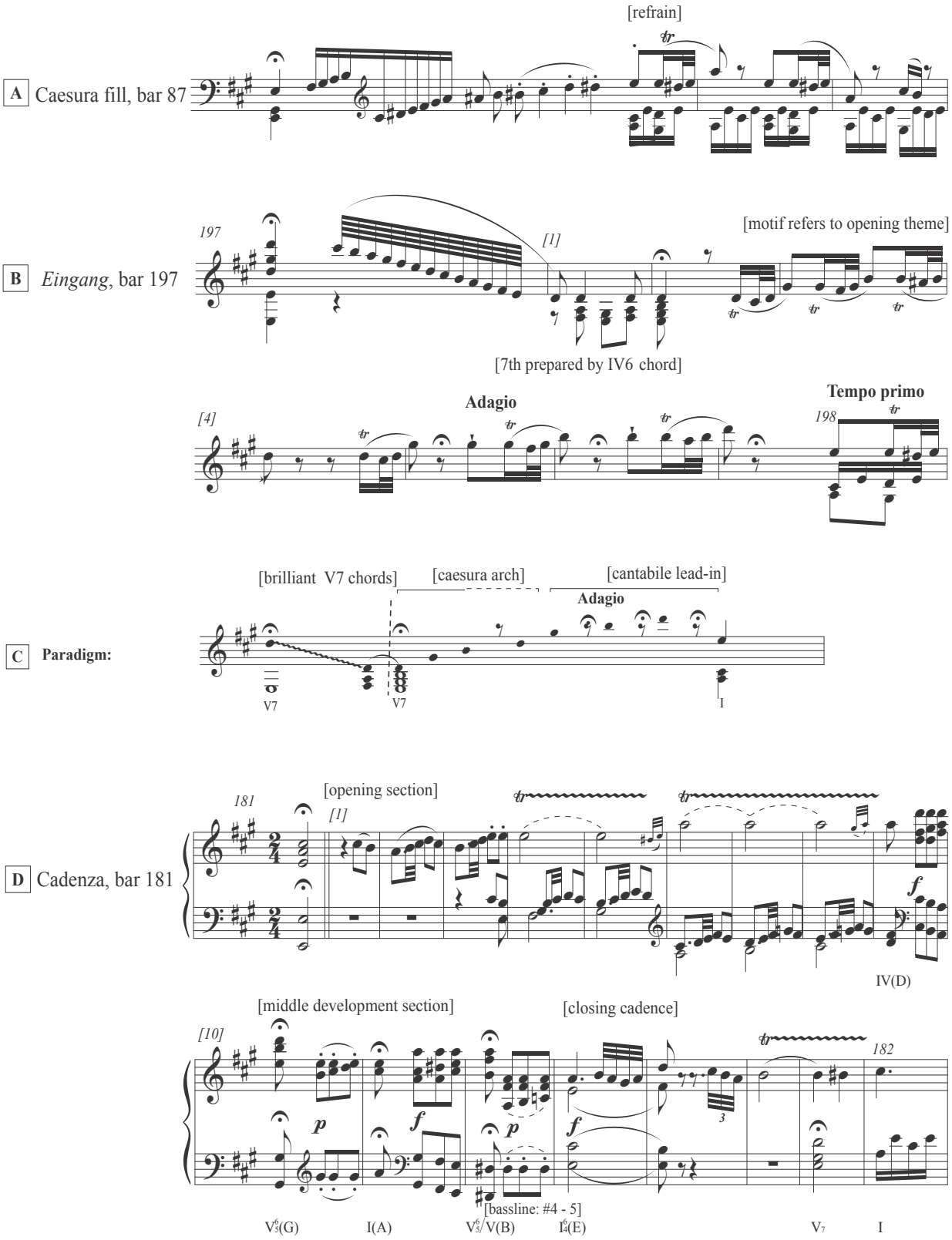
	A_a	A'_b	A'_c	C	B'	Dev.	
Bar	88	104	108	126	136		181
Topic	Galant with pickup in 2/4	Three-note motif	Song with simple Alberti bass	Allegretto	B		**Cadenza**
Key	I	vii°/IV	IV (D)	v (em)	AM	(EM)	Cad $\frac{6}{4}$–V_7

Rotation 3 Rotation 4

	A_c		Retrans.		A_a	Coda
Bar	182		192	197	198	205
Topic	Song with simple Alberti bass	fragment		***Eingang*** [Caesura-link?]	Galant with pickup in 2/4	
Key	I (AM)			V	I	

The *Eingang* in bar 197 in Piano Concerto, K. 414 Rondo shows improvisatory retransitions we have discussed. It is brief, similar to the improvisatory connective caesurae, in which he uses a brilliant scale in both bar 87. Compared to the connective caesura, Mozart's *Eingang* shows a motivic reference to the overall movement, as he utilizes the opening motif to decorate the dominant seventh chord.

Example 111: Mozart, Piano Concerto in A Major, K. 414, Rondo: Allegretto



Difference between *Eingänge* and Cadenzas in Concerto, K. 414: Thematic Development

Thematic developments create interest within a movement and, at the same time, make its form ambiguous according to conventional categorizations. The cadenza in K. 414, as in most of Mozart's cadenzas, features thematic references and development. As a response to the intriguing thematic development in the Rondo of K. 414, Mozart provides two written-out cadenzas to choose between.

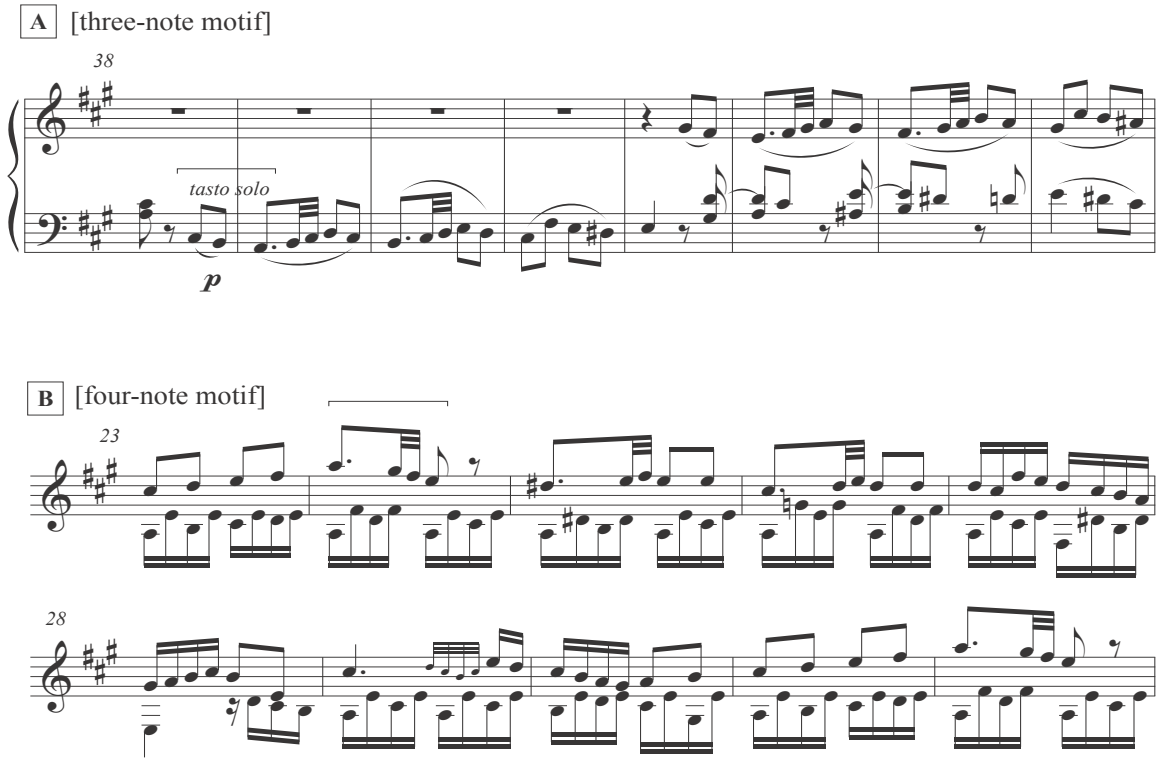
When one's imagination fails during the improvisation process, thematic references offer an alternative source for creative invention. Example 111d above shows Cadenza A in the Rondo of K. 414, which unfolds in a three-part schema (analytical notes marked on the score). After Mozart places a fermata six-four chord, the cadenza space opens, with the first flourish using *schleifer*[11] that descend from a short-bridged motif (marked A_b in bar 8 in Table 11 and as shown in Ex. 112).

In the Cadenza of K. 414, this motif is repeated in the middle voice while the right hand plays a repeated trill in the high register, first on the dominant note and later jumping to the tonic note. The bass moves in upward stepwise motion through scale degrees $\hat{5} - \hat{6} - \hat{7} - \hat{1} - \hat{2} - \hat{3} - \hat{4}$.

Schematically, the three-part cadenza shares the two-part plan of the *Eingang* and inserts a middle thematic development section. The middle development section in the *Eingang* here utilizes a four-note descending gesture, $\hat{8} - \hat{7} - \hat{6} - \hat{5}$, from the simple tune with an Alberti bass accompaniment (marked A_c in table 11 and as shown in Ex. 112b). Although this is not a prominent motif, in order for the descending four-note gesture to stand out among the three-note motifs throughout the movement, Mozart writes it in the highest register of the melody.

[11] A decorated three-notes slide.

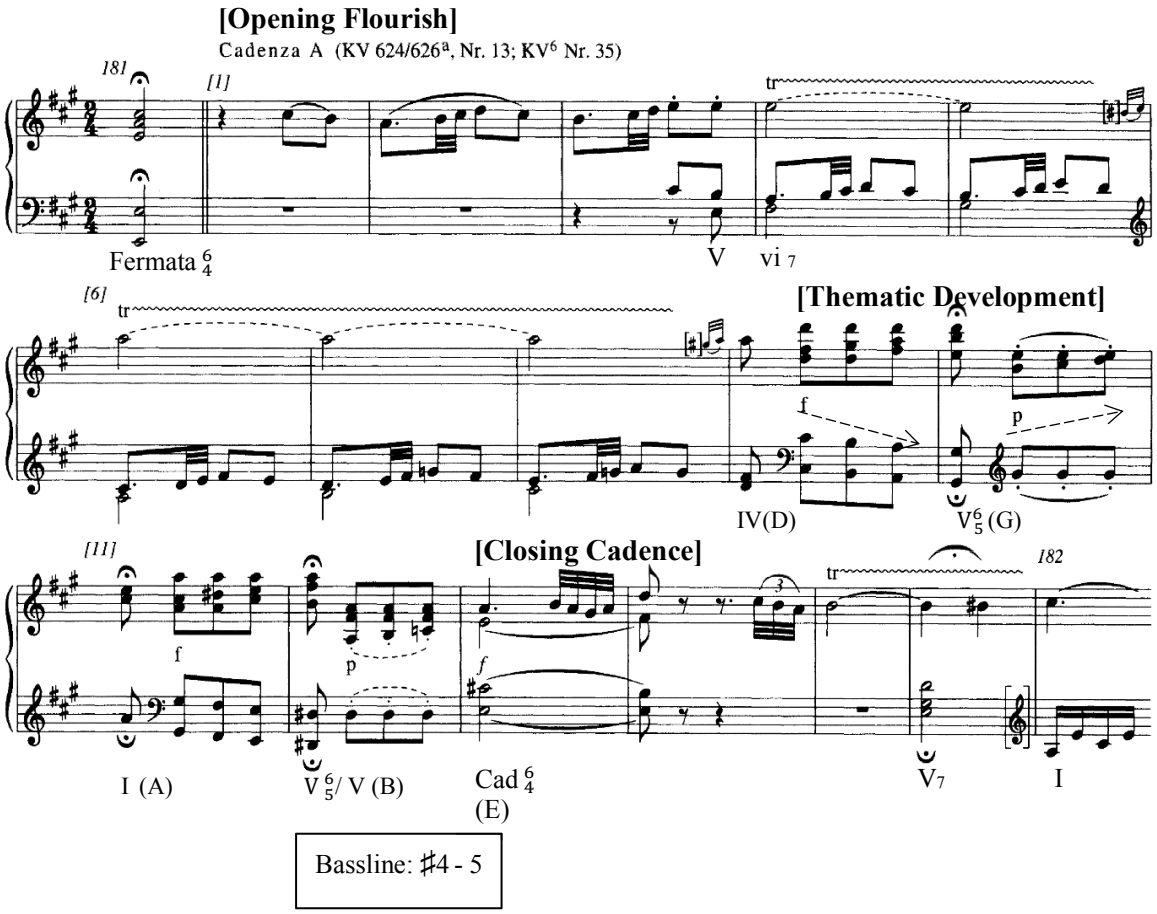
Example 112: Mozart, Piano Concerto K. 414, Rondo, Motivic Reference
(a) Three-note Descending Motif, bars 38–45
(b) Four-note Descending Motif, bars 23–32



Mozart develops these motifs with ascending fifths harmonic sequence, D to A to E, until it reaches the tonic six-four (see Ex. 113, bar 9). Voices move between the sequences in contrary motion, and when descending, they are supported by forte dynamic; conversely, when they ascend, they are supported by a piano dynamic.

The last part of the cadenza features a closing cadence, Cad $\frac{6}{4}$– V_7 – I. Restarting on the six-four chord makes the middle development section seem like a fast movie replay, recapping the most memorable scenes, briefly lost in time. A cadential trill then enters with a dominant seventh, later returning to the refrain in the tonic.

Example 113: Mozart, Piano Concerto in C Major, K. 414, III. Rondo Allegretto, Cadenza A

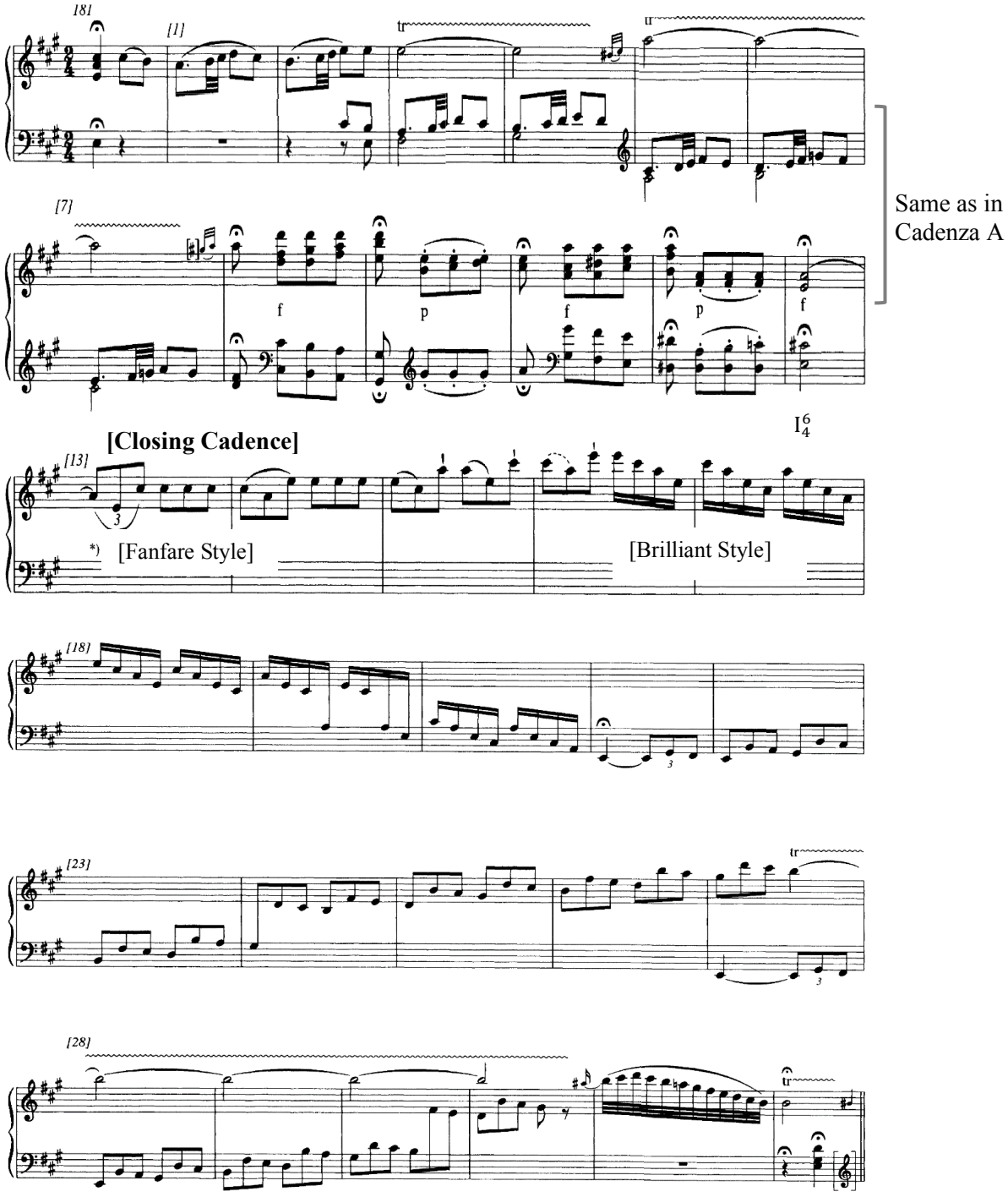


The middle development section, which serves as short reminiscence of the most prominent melodies, shares the same material found in Cadenza B (see Ex. 114. Mozart wrote same opening flourish and second thematic development section for both.[12] The independent *Eingang* passage, in the concluding section on the six-four chord, follows with fanfare-like fast virtuoso figurations, using brilliant arpeggios, leading the harmony to the dominant seventh, followed by the three-note motif that appears throughout the movement, with a repeated trill in the high register on the 5th degree of scale on the dominant. The eighth-note rest again breaks the energy and brings forth an appoggiatura-decorated scale in cantabile style with a cadential trill to

[12] Detailed discussion on motivic reference and thematic development in cadenzas, see Chapter Ten, p. 279.

close the cadenza.

Example 114: Mozart, Piano Concerto in C Major, K. 414, III., Rondo Allegretto, Cadenza B



CHAPTER NINE:
SCHEMAS OF THREE-SECTION AND FIVE-ACT FANTASIA PLAN

A more expanded middle section allows more thematic materials, as shown in the third movement of Piano Concerto K. 414 mentioned above; thus, a three-section plan for cadenzas is revealed. I have mentioned two *Eingänge* in flat keys within concerto Rondo movements in a two-part plan: the Allegro Assai from K. 459 in F Major, marked 2/4, written in 1784; and the allegro from K. 595 in B-flat, marked 6/8, which was written in 1791. There are other extant *Eingänge* in the third movement rondos in the flat keys, including the Allegro in B-flat major, K. 450, marked 6/8, and the early Piano Concerto in E-flat Major, K. 271, for which Mozart provided six written-out *Eingänge*. These were composed in Mozart's middle and late period, and he wrote out one *Eingang* and one cadenza for each. The increased length of these *Eingänge* affords more variety and more intriguing textures and figurations. The cadenzas in rondos of K. 450 and K. 271 show thematic development in the middle section. This chapter will address briefly the thematic references of the three-section and five-act Fantasia schemas; however, full discussion of thematic development remains outside the scope of this document.

Three-Section Schemas

The so-called three-act structure in drama is derived from Aristotle in his *Poetics* (1450b–1451a), where he states that every story has beginning, middle and end; these divisions are commonly labeled as: setup, confrontation/complication and resolution/dénouement.[1] In his

[1] John Henry Newman, 1801-1890, Cook, Albert S. (Albert Stanburrough), 1853-1927, ed. *Poetry, with Reference to Aristotle's Poetics* ([S.l.]: Boston, Ginn & Company, 1891), XXIII, 89 "As to that poetic imitation which is narrative in form and employs a single metre, the plot manifestly ought, as in a tragedy, to be constructed on dramatic principles. It should have for its subject a single action, whole and complete, with a beginning, a middle, and an end. It will thus resemble a single and coherent picture of a living being, and produce the pleasure proper to it. It will differ in structure from historical compositions, which of necessity present not a single, but a single period, and all that happened within that period to one person or to many, little connected together as the events may be"

captivating description for screenwriting, as scriptwriter, David Trottier states that the opening part must make a good first impression, which he calls the "hook." The central dramatic midpoint is the moment when conflict intensifies and the motivation to achieve the goal becomes fully clear. Finally, the dénouement arrives, where all the loose ends are tied together and any remaining subplots are resolved.[2] Trottier concludes by giving a six turning-point formulation:

1. "Catalyst": where things kick off and set up the story.
2. The "Big Event," the turning point that changes the character's life, which sets up Act II.
3. The "Pinch" or midpoint, which is a major moment of the middle story line, often "a point of no return" or "deep motivation for central character."
4. The "Crisis," the low point, or a moment that forces a decision that leads to Act III.
5. The "Showdown or Climax" that confronts the crisis.
6. The "Realization," which is usually part of the dénouement.[3]

These elements of an effective story correspond to stylistic expressions of a three-part schema in Mozart's *Eingänge* and cadenzas.[4] To aid the reader in recalling the earlier discussion, Figure 28 recalls the visual analogs associated with the musical three-part structures (discussed in Chapter One) and extends these divisions to their dramatic counterparts.[5] The formula for developing an engaging and effective story recalls advice given by Türk and Quantz in their treatises. As Trottier reminds us:

> …there are many ways to tell a story, and the structure changes or evolves as you write, so be open to new, creative insights. As Paul Haggis, who wrote *Crash,* put it, 'Subvert people's expectations.' Avoid clichés of structure, character, and dialogue. Every story has its own structure, its own life, its own way of unfolding. It uses you, the writer, to express itself.[6]

---

[2] David Trottier, *The Screenwriter's Bible: A Complete Guide to Writing, Formatting, and Selling Your Script.* 5th ed., Expanded & updated (Los Angeles: Silman-James Press, 2010), 11–22.
[3] Ibid., 24.
[4] Robert Levin and John Irving both have illuminate description of the typical layout of a Mozart cadenza. See: Irving, John. *Mozart's Piano Concertos*. Burlington, VT: Ashgate, 2003. Levin, Robert. "Instrumental Ornamentation, Improvisation and Cadenzas". In *Performance Practice: Music After 1600*, edited by Howard Mayer Brown and Stanley Sadie, 267-91. New York: W. W. Norton, 1990.
[5] These pictures were mentioned in Chapter One (from left to right): *A View of Superb Fireworks in Vienna, Marriage A-la-Mode* by William Hogarth, and *A Musical Tea Party* by Marcellus Laroon The Younger.
[6] Trottier, *The Screenwriter's Bible*, 26.

Figure 28: Three-Act Structure corresponding to Three-Part Schema in *Eingänge*/Cadenzas

	Act I Set Up	Act II Confrontation	Act III Resolution
Description	The Hook	Thematic Conflict Intensifies	Realization/Dénouement
Style and Expression	Brilliant Firework 	Dramatic Development of Main Characters 	Tea Drinking 
Diagram: David Trottier & Mozart's *Eingänge*	Catalyst Big Event	Pinch Crisis Bass: 3 –4 – ♯4	Showdown Energy Gain-Loss Realization Lead-In
Eingänge Harmonic	$V_{(7)}$	V_7 or Dominant Expansion	V_7
Cadenza Harmonic	$I\frac{6}{4}$	V_7 [Modulation and Conflict Intensities using sequential or fifths harmony…etc.]	Cad $\frac{6}{4}$ V_7^{trill}

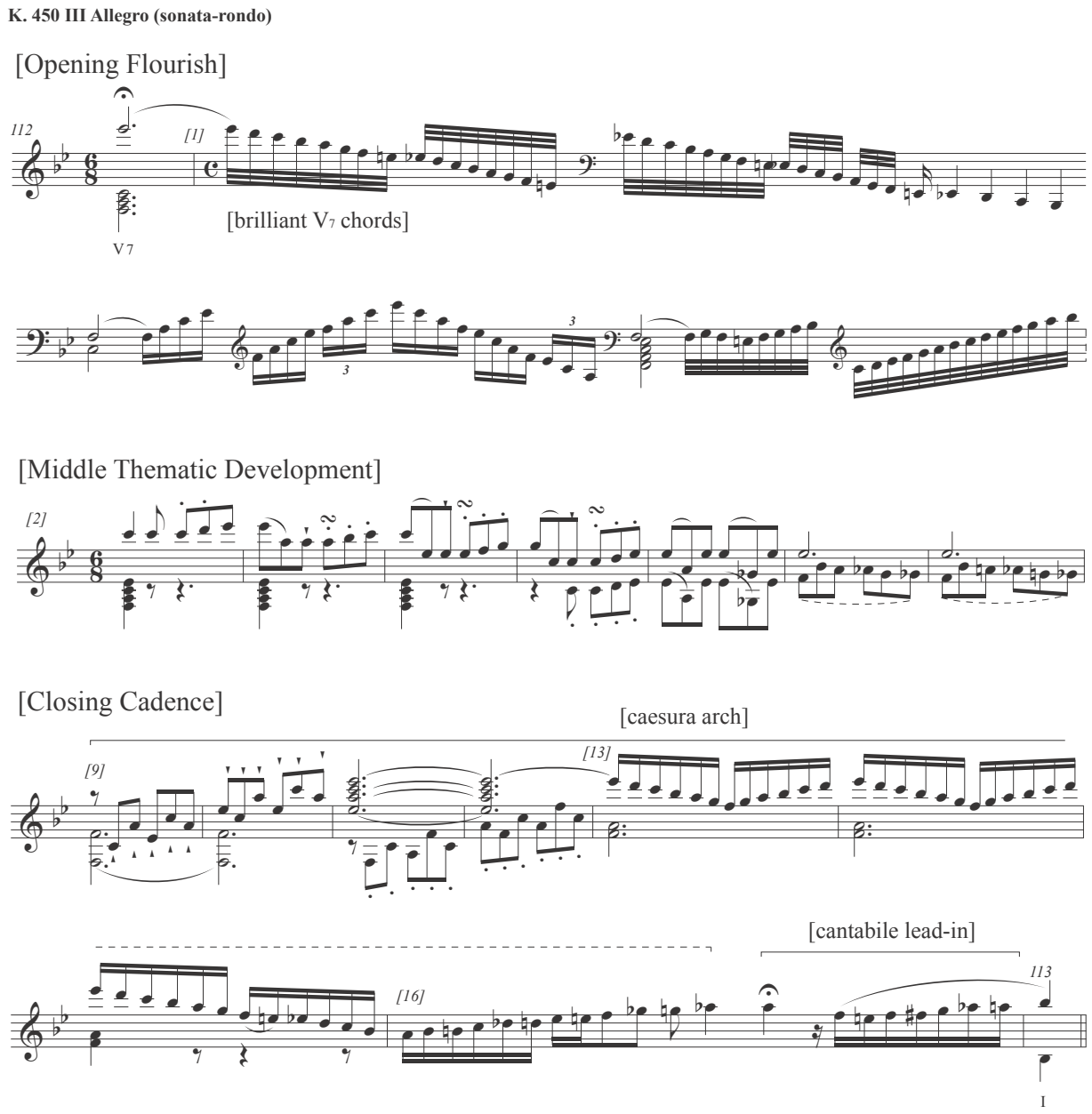
This is similar to the aesthetic advice given in the eighteenth-century treatises by Quantz, Türk, and C. P. E. Bach, etc., as mentioned in the beginning of Part II, which provide instruction on how to improvise with good taste. These tools and schema descriptions aim to facilitate the planning and design of improvisation in music of the Classical era.

Three-Section Schema: *Eingang* in Piano Concerto, K. 450 Rondo

Mozart's *Eingang* in his Rondo movement of the Piano Concerto, K. 450 (in 6/8, written in 1784), illustrates a perfect example of a three-section schema (see Ex. 115). The Rondo contains many virtuoso and technically challenging passages, including hand-crossing, wide interval jumps, fast upward- and downward–moving arpeggios and scales. There is also a double-handed trill towards the end. Mozart presents a variety of figurations on the dominant seventh and inserts thematic development as he would in a cadenza.

In the opening section, Mozart uses descending scales, arpeggios, and his signature scale starting with the turn to decorate the dominant seventh chord. These figurations breathlessly travel three octaves, providing a surprising experience for the audience. The middle part utilizes the opening theme, first appearing in sequence, leading to the same rhythmic motif that then becomes chromatic motion on the subdominant minor sixth. This is followed by bright arpeggios, marked by strokes that indicate fanfare style in contrapuntal voices. The last virtuoso figuration is in the fast-to-slow schema, starting on a zigzagging scale and connecting to a chromatic one with a written-out ritardando. The *Eingang* finishes with a rising scale articulated with a single slur, suggesting the cantabile style.

Example 115: Mozart, Piano Concerto in B-flat Major, K. 450, III. Allegro, *Eingang*



<u>*Eingänge* and the Piano Concerto, K. 271</u>

Mozart's use of keys in his piano concerti is limited to those within three sharps or three flats.[7] The neutral keys give Mozart greater freedom in achieving different moods with a given

[7] Another practical consideration is that tuning starts to become an issue when playing in four or more sharps or flats in anything but Equal Temperament.

movement; while, according to the musicologist Cuthbert Girdlestone's description of Mozart's keys, in "the house of the E flats, where the inmates were legion, air and space were lacking, overcrowding prevailed, and only the sturdiest off-spring profited fully from life."[8] E flat Major is used extensively in Mozart's works, including three piano concerti, two quintets, a piano quartet, a wind serenade, the finale of Act II of *Figaro*, and the *Sinfonia Concertante*. The natural horn, with its special tone quality, imparts a comfortable and strong effect in this key. Although the instrument's simple construction limits its melodic capability (the valve horn had yet to be invented), on occasion Mozart seems to enjoy designing melodies that can be performed on the natural horn, as in the Rondo of K. 271.

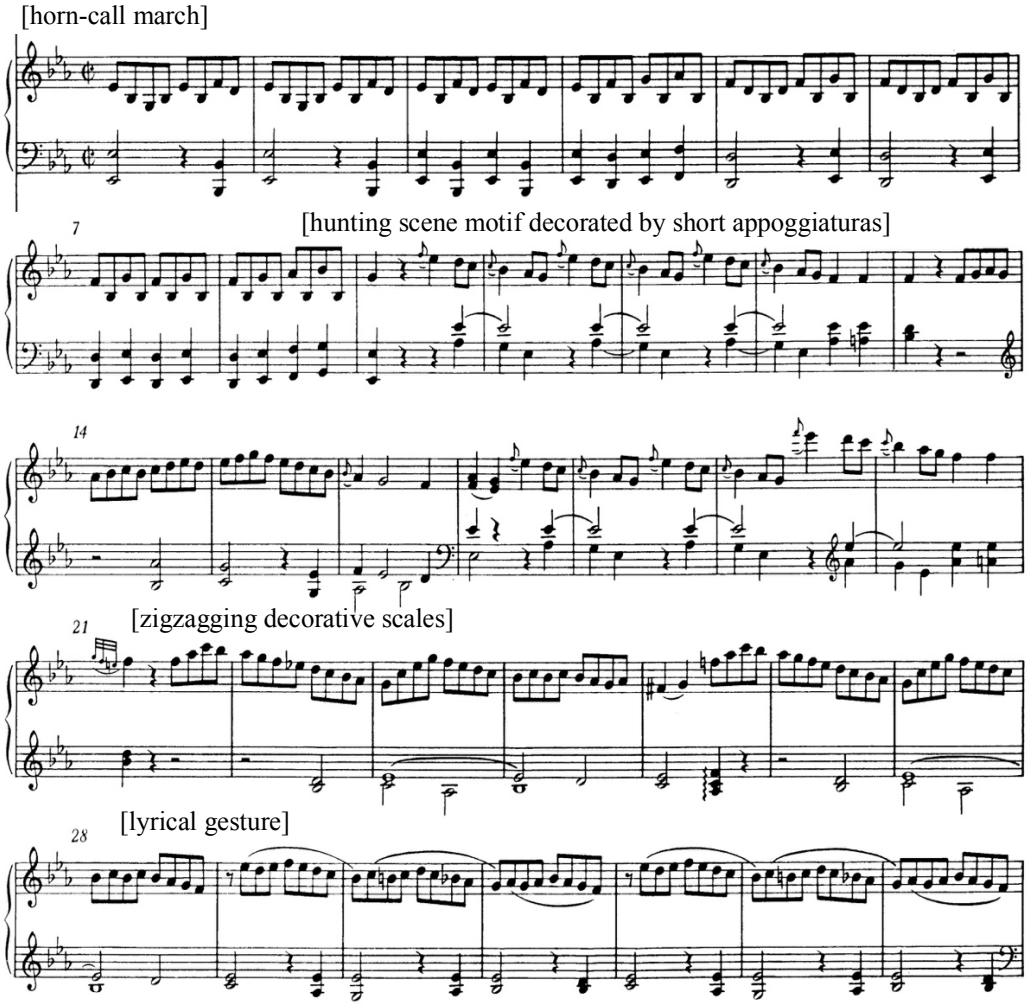
Piano Concerto No. 9, K. 271 in E-flat Major, was composed in 1777 during Mozart's Salzburg years when he was twenty-one years old. Mozart's early piano concerti are arrangements of other composers' sonata movements or salon music in a straightforward Galant style, crafted with the Salzburg court audiences in mind. Eight months after completing Concerto No. 8, Mozart turned once more to the composition of piano concerti, soon completing the E-flat Concerto.[9] Unlike its predecessors, K. 271 is considered to be a breakthrough work that demonstrates greater originality and maturity then his earlier concertos. It contains the most intimate collaboration between a soloist and the orchestra, is full of detail and vitality, and demands higher technical and musical skills; moreover, the energy, inspiration, and freedom of form are all brought together compactly.

The third movement Rondo, marked Presto, is written in cut time and imparts a noble character that is sustained throughout the movement. The Presto's opening theme contains four

[8] Cuthbert Girdlestone, *Mozart and His Piano Concertos* (Mineola, N.Y.: Dover Publications, 2011), 386.
[9] Between Mozart's employment at the Salzburg court from 1773-1777, he composed twelve divertimentos, nine symphonies, eight violin concerti, and four piano concerti.

gestures (see Ex. 116 and marked A in Table 12), starting with a horn-call march and followed by a fragment of a hunting scene motif with short appoggiaturas decorating it. The relentlessly fast passage continues with zigzagging decorative scales, followed by a lyrical gesture marked by slurs and decorated by trills. These four gestures are seamlessly united in the warm and sunny key of E-flat major in the opening of this movement. These gestures also reoccur in his *Eingänge*.

Example 116: Mozart, Piano Concerto in E-flat Major, K. 271, Rondo, Opening, bars 1–27



Rotation 1: First *Eingang* Space in the Rondo of K. 271

The piano starts interacting with the orchestra after the ritornello (marked A_1) as in the style of opera buffa,[10] with its bass moving in descending motion to the dominant, B flat. The subsequent restless presto passage on the dominant (marked B) contains a joyful melodic line with a cadential trill. The trill is interrupted several times before the horn march begins in bar 115 and makes the transition to an orchestral tutti that ushers in the first *Eingang*.

Table 12: Topical Content of the Third Movement Rondo in Piano Concerto, K. 271, Rotation 1

	A	A_1	Tr	B	Trans.		
Bar		43	69	83	111	127	149
Topic	March, hunting, Presto in Zigzag motion, Turned scale	Opera Buffa	Chromatic motion	Joyful melodic line	March	m. 29 Turned scale + Orch tutti	***Eingang***
Key	I (E Flat)	I - V		V			

Mozart wrote out three *Eingänge* to connect to the second rotation from which the performers could choose; these are marked in his score as *Eingang* A, B, and C. The order in Example 117 is arranged from simple to complex, based on the *Eingang* schema mentioned earlier. *Eingang* B (see Ex. 117a) presents the simplest two-part schema, whose first part features a virtuoso passage in fanfare style and whose second presents an Adagio in cantabile style. Between these two parts, he inserts another two-part plan, fast-to-slow with energy gain and energy loss (as in the connective links in his piano sonatas discussed in Chapter One), which returns to the theme in the tonic.

[10] The association with comic opera buffa shows when Mozart writes ludicrous vocal leaps with the orchestra responding immediately, as in a conversation.

In his *Versuch*, Quantz states that improvisatory cadenzas "must stem from the principal sentiment of the piece. To illustrate, Quantz includes a short repetition or imitation of the most pleasing phrases contained it."[11] *Eingang* B presents an abbreviation or miniature version of the motifs in the first rotation, including the opening fanfare horn call, the scale decorated by the turn in bar 29, and the chromatic connective links in bar 69.

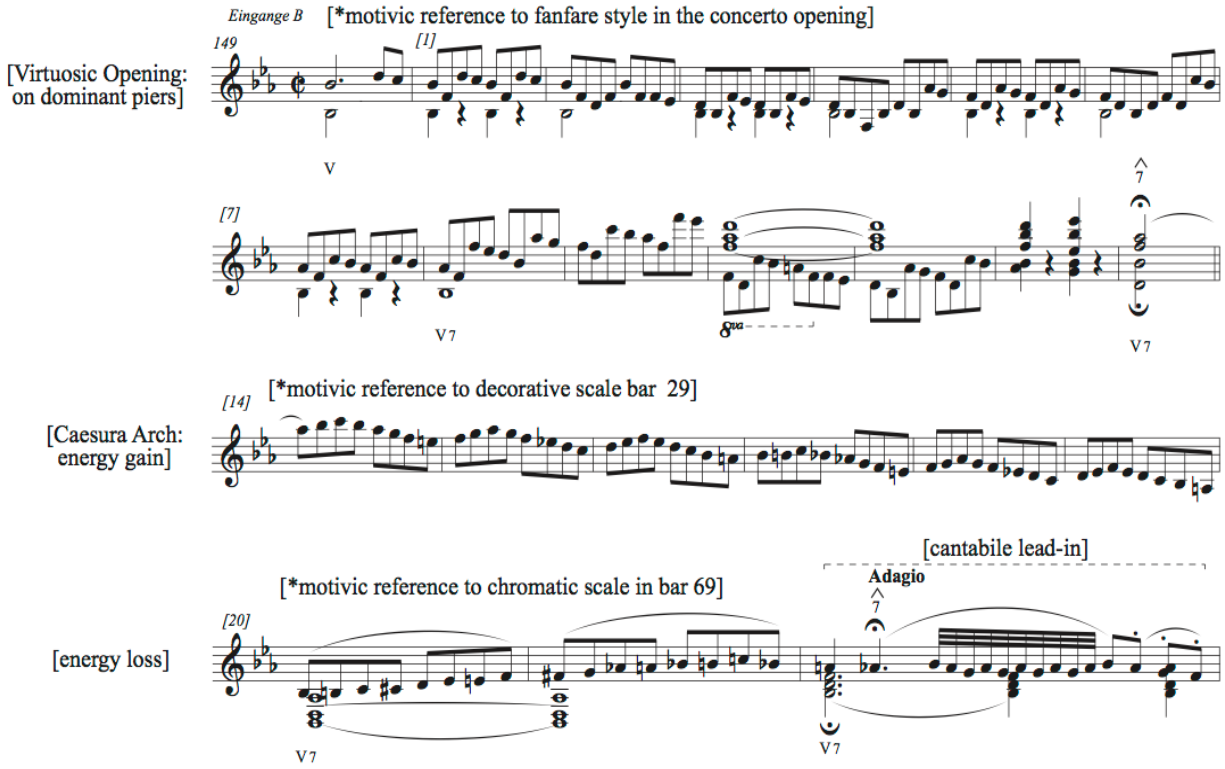
One sees a similar plan in *Eingang* C (see Example 117b), which is a two-part schema that features a virtuoso passage in contrapuntal, early-Italian toccata style and an ornamented melody in cantabile style. Between these two parts, an orchestral tutti enters and intensifies the musical energy, whereas the fermatas and rests that follow release the tension.

Analytically, the schemas of *Eingang* C and *Eingang* B share a similar plan; however, these two *Eingange* present different stylistic elements. There is no corresponding motif in *Eingang* C, and the texture refers to orchestral writing in which each instrument enters in turn, and then all instruments reach the tutti climax together. After the fermata on bar 17, the solo voice or instrument enters in a decorated cantabile style.

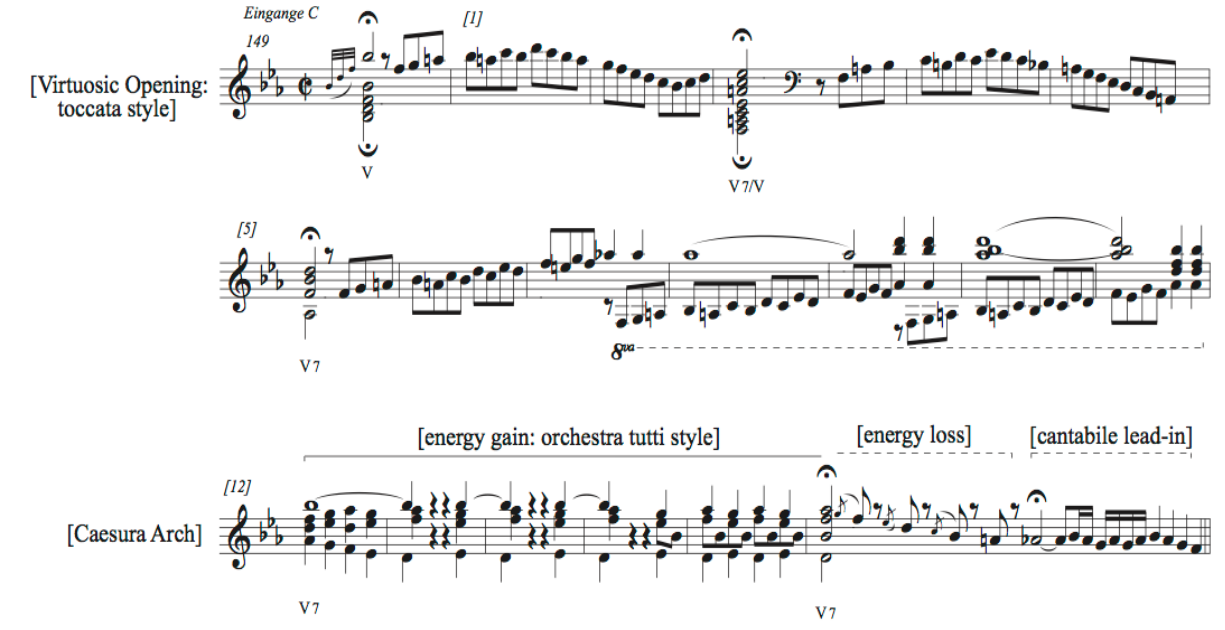
[11] Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen*, 181.

Example 117: Mozart, Piano Concerto in E-flat Major, K. 271, III. Rondo, Three *Eingänge*, bar 149

(a) Two-Part Schema with Inserted Caesura Arch, *Eingang* B



(b) Orchestral Tutti to Solo as The Retransition leads to *Eingang* Space, *Eingang* C



Türk indicates that "[cadenzas] should be more like a fantasia which has been fashioned out of an abundance of feeling, rather than a methodically constructed composition."[12] Schematically, *Eingang* A is in a three-section and its outer sections feature a flourish-filled opening before they close with the cadential trill on the dominant seventh. The middle section is a fantasia style development middle section, and it features sectional tempo markings (Andantino – Presto – Andante – Presto), outlined by a dominant descending bassline (see Ex. 118 and its bass motion in Ex. 119). Each section presents bold and contrasting figurations, adhering to the guidelines Türk provides: "Variety is necessary if the attention of the listener is to be held. Therefore, as much of the unexpected and the surprising as can possibly be added should be used in the cadenza."[13]

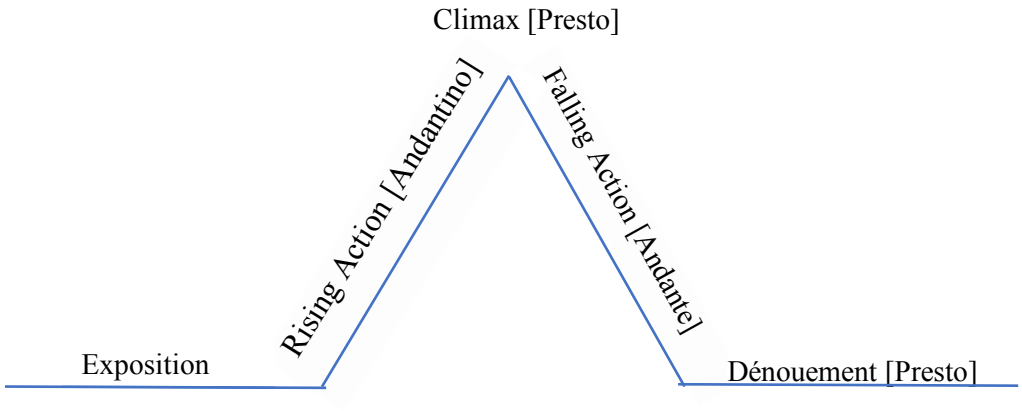
Five-Act Schema and the Fantasia Style

These three-part schemas correspond to the three-act dramatic division promoted by Aristotle and mentioned earlier in Figure 6. Over time, the Roman poet, Quintus Horatius Flaccus (65 BC–8 BC), known as Horace, advocated for five acts.[14] Many centuries later, in his *Die Technik des Dramas*, a German playwright, Gustav Freytag (1816–1895) defined the five-act structure in classical and Shakespearean dramas; his divisions became known as Freytag's pyramid.[15] According to this pyramid, a story plot consists of five parts, which create the dramatic arc. This five-part division corresponds to Mozart's musical architecture in his *Eingang*

[12] Türk, *School of Clavier Playing*, 300.
[13] Ibid., 301.
[14] Stanley Hochman, *McGraw-Hill Encyclopedia of World Drama: An International Reference Work In 5 Volumes*. 2nd ed. (New York, N.Y.: McGraw-Hill), 217.
[15] Gustav Freytag, 1816-1895, MacEwan, Elias J. *Freytag's Technique of the Drama: An Exposition of Dramatic Composition and Art. An Authorized Translation From the 6th German Ed. by Elias J. Macewan.* ([S.l.]: Chicago: Scott, Foresman), 115.

A in K. 271, whose structure is divided by tempo marking into five parts. Figure 29 shows a comparison between Freytag's pyramid and Mozart's *Eingang* A in K. 271. The rising and falling actions are basically extensions, the middle development section, from the three-part structure. When a performer wishing to elaborate more may chose an extended narration as *Eingang* A; this might provide a reason to favor choosing it over the other two in modern performances. This five-act schema and the Fantasia style displays a well-structured formation drawing on dramatic arcs familiar to Mozart.

Figure 29: Comparison between Freytag's pyramid and Mozart's *Eingang* A in K. 271 (Mozart's tempo is marked by parentheses to compare it with Freytag's boundaries)

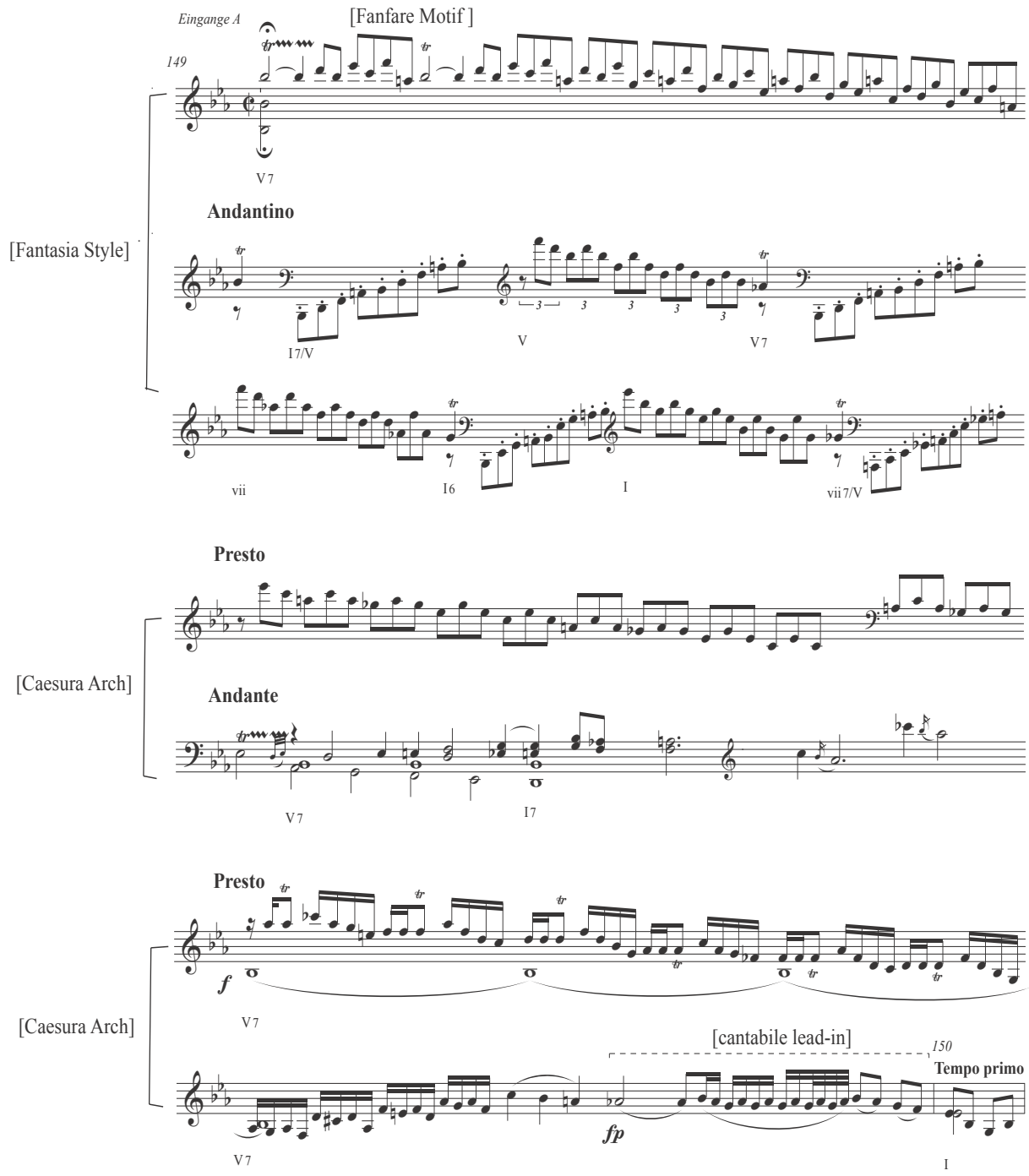


The motif in the beginning of *Eingang* A (see Ex. 118) contains an ascending melody with descending thirds from the opening of the Rondo, which corresponds to Türk's idea that "some of the important ideas—to be sure not in their entirety but nevertheless in extracted form—can be woven into the cadenza if they are skillfully united with the whole."[16] Mozart weaves the martial opening into a free Fantasia-like arpeggio figuration, moving from Andantino to Presto. A 4–3 trill connects to the subsequent Andante in contrapuntal style, as in the fantasia or toccata. The next Presto features an oft-used schema, the caesura arch, and a corresponding

[16] Ibid., 299.

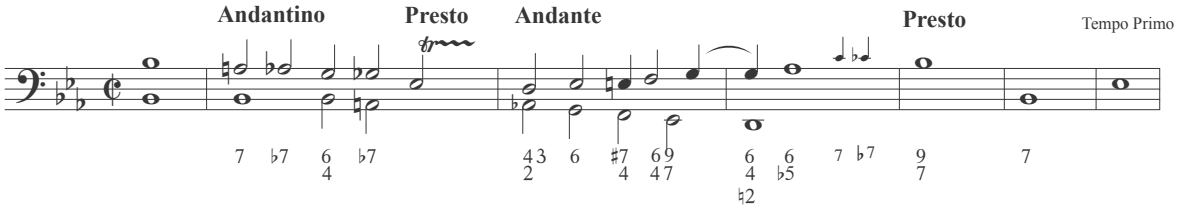
fanfare style that leads into cantabile cadential trills to reintroduce the refrain.

Example 118: Mozart, Concerto in E-flat Major, K. 271 III., *Eingang* A, Fantasia Style: Opening–[Andantino–Presto–Andante]–Presto



Example 119: Mozart, Concerto in E-flat Major, K. 271 III., Rondo, *Eingang* A: Fantasia-like Bassline Structure

[Opening Flourish] **[Middle Development**: in Free Fantasia Style**]** **[Cadential Trill]**



Mozart shows three different schemas for the first *Eingang* space: *Eingang* A composed in the fashion of the free Fantasia, based on the figured bassline; *Eingang* B in its two-part structure, adding another fast-to-slow plan; and *Eingang* C, which presents a retransition to the *Eingang* space that responds to the orchestral tutti transition to the solo's improvisation space.

Rotation 2: Second *Eingang* Space in K. 271, Rondo

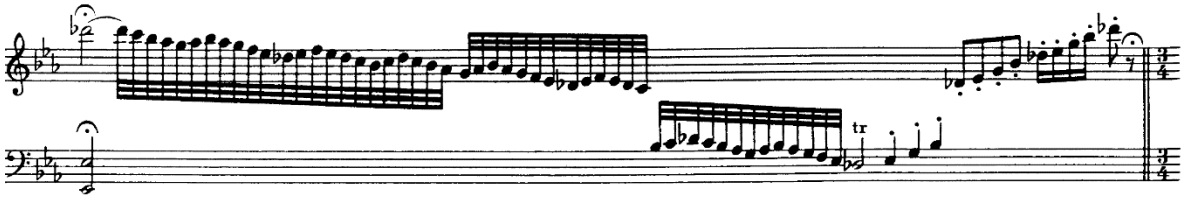
In the second rotation, Mozart explores the contrast between comfortable, familiar material while balancing variety with coherence. The joyous march and hunting theme returns at bar 150, with the unaccompanied soloist's entrance (see Table 13). In contrast, the episode in bar 192 reintroduces emotional complexity, which recalls the turned scale motif from bar 29, using a disquieting sequential modulation at the beginning of the episode. This passage recalls the sorrow in the second movement. This is interrupted by a short and unexpected return to the original E-flat but with a dominant-functioning caesura-link (see Ex. 120), leading to a subtle minuet in the subdominant A-flat major in bar 233. The piano's sudden introduction of the menuetto cantabile in bar 233 is an unconventional and bold move for the audiences of that time, and also strengthens the soloist's audacity. The menuetto finishes with expressive retransitional

arpeggios that precede a dialogue (see Ex. 121) between the soloist and orchestra. The second *Eingang* space then opens on the dominant fermata.

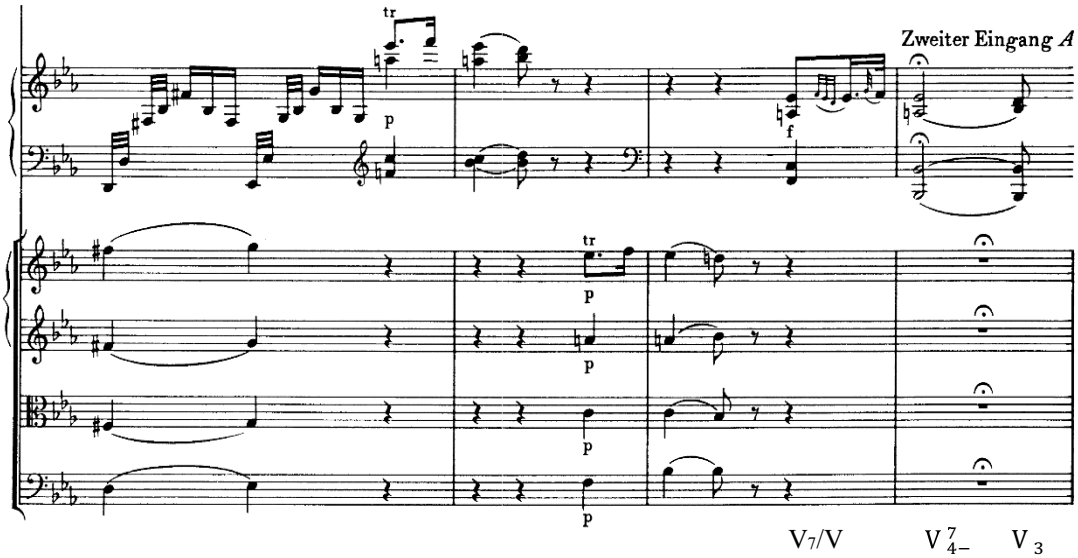
Table 13: Topical Content of the Third Movement Rondo in Piano Concerto, K. 271, Rotation 2

	A	Dev.	Trans.		C	Retrans.	
Bar	150	192	220	232	233	292	303
Topic	March, hunting, Presto in zigzag motion, Turned scale	Turned scale		[Caesura-link]	Menuetto cantabile		***Eingang***
Key	I	$V^{9\circ}$/ii- $V^{9\circ}$/iii-iii (fm-cm-fm)	I	V	IV (A Flat)		V

Example 120: Mozart, Piano Concerto in E-flat Major, K. 271 III. Rondo, Caesura-link, bar 232



Example 121: Mozart, Piano Concerto in E-flat Major, K. 271 III. Rondo, Retransition, bar 300



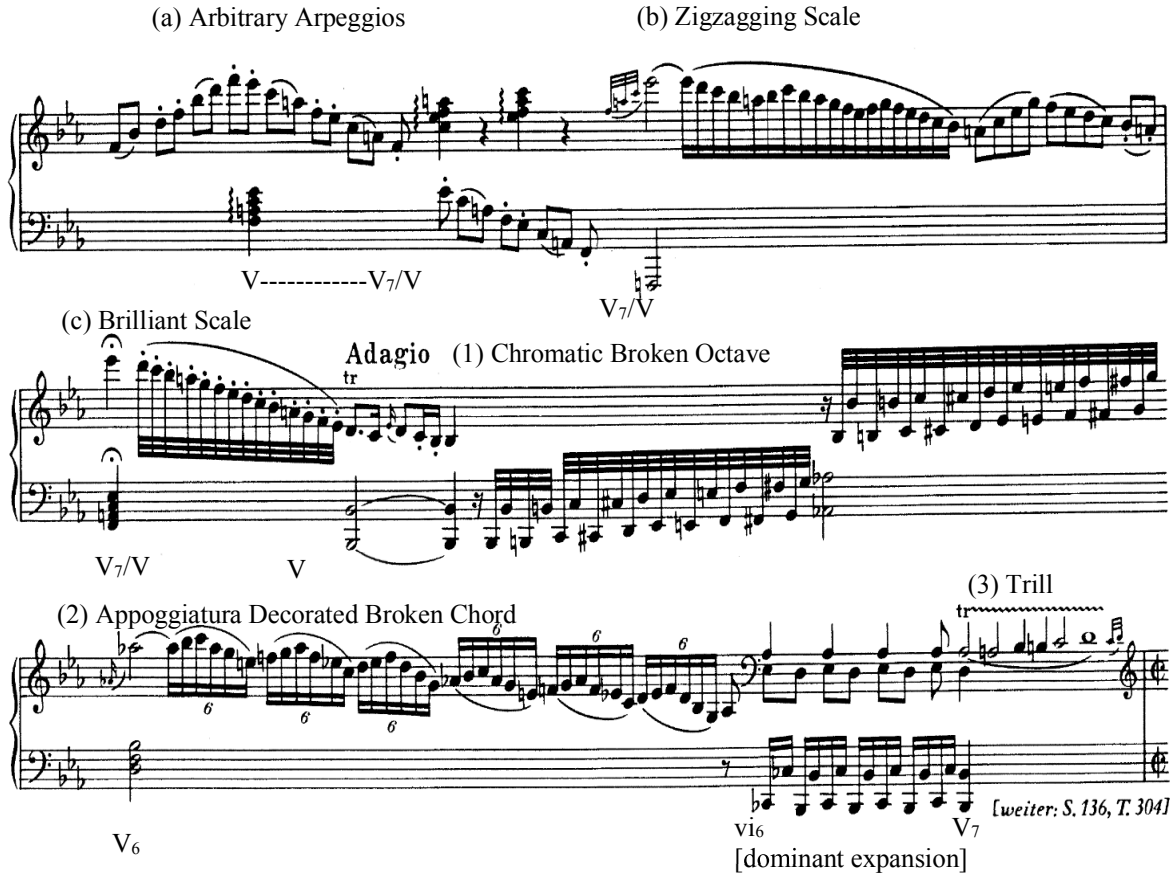
Reflecting on the more intriguing second rotation, more complex materials are integrated into the second *Eingang* space. An arbitrary arpeggio leap (marked a), which connects the dominant to its applied dominant seventh harmony, starts *Eingang* A (see Ex. 122a). On the applied dominant seventh, Mozart inserts two figurations using a zigzagging scale (marked b) and the straightforward, brilliant scale (marked c). The energy dissipates at the dominant harmony when Mozart marks an Adagio with a 4–3 trill and an appoggiatura, both of which emphasize the half cadence. The dominant is immediately interrupted by (1) a storm-like chromatic scale in broken octaves, (2) an appoggiatura-decorated broken-chord, and (3) an ascending chromatic trill.

Separated by an applied dominant seventh and dominant harmony, each section shows three figurations that cross three octaves. Outlining the seventh note, the first three sevenths are in the same high register, each figuration connected by wide leaps, while the second set of three sevenths on the dominant are linked by figurations using upward and downward motion.

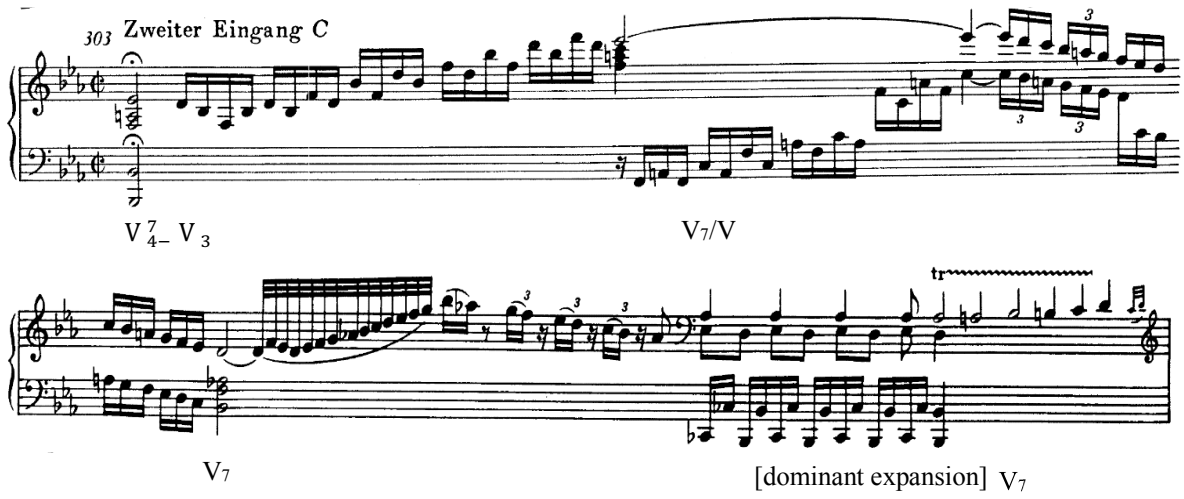
Schematically, the second *Eingang* space is planned differently: instead of being sketched with clear topical associations, it is outlined by the harmony, making the transition from the applied dominant to the dominant. *Eingang* C, for instance, continues the opening harmony $V\,^{7}_{4-3}$ with broken arpeggios in a fanfare style followed by an orchestral tutti-like scale on the applied dominant seventh. After a connective link, which features energy gain and energy loss, the passage arrives at the dominant seventh; however, instead of returning to the refrain immediately, Mozart manipulates the audience's expectations, disturbing the peace with half-step broken octaves as used in *Eingang* A.

Example 122: Mozart, Piano Concerto in E-flat Major, K. 271 III. Rondo, Second *Eingang* Space, bar 303

(a) *Eingang* A of K. 271: Applied Dominant Seventh to Dominant Harmony



(b) *Eingang* C of K. 271: Applied Dominant Seventh to Dominant Seventh

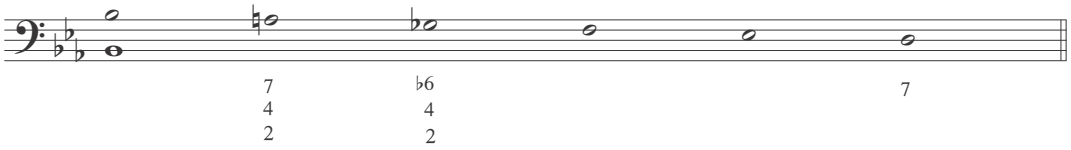


If one removes the applied chord, marked by a dashed line in Example 123, then *Eingang* B consists of decorations on the dominant with brilliant, fanfare-style and technically challenging scales, making the transition into a chromatic scale that connects to the final cadential trill. Mozart inserts an applied diminished seventh chord that recalls the disquieting sequential modulation using diminished ninths in the development episode from bar 192. The melody that follows is decorated by turns, recalling the minuet.

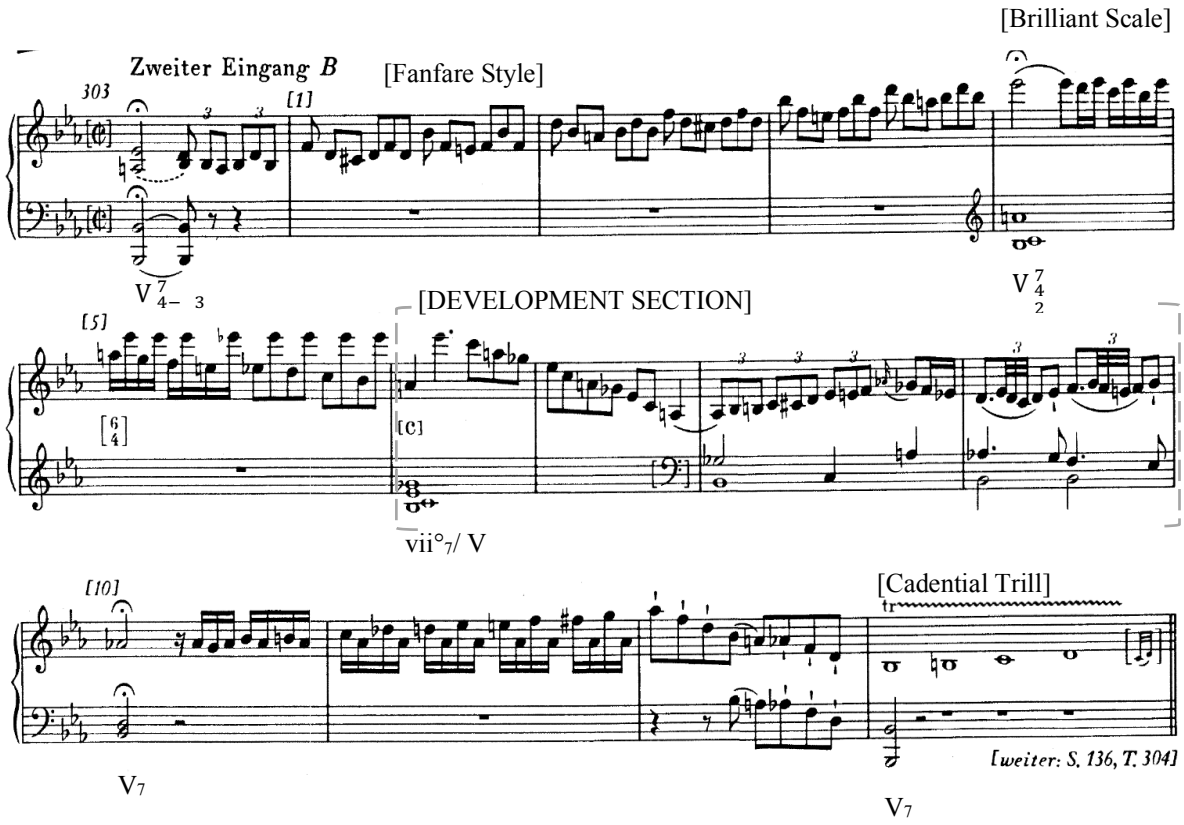
Türk mentions that the performer "should particularly reinforce the impression the composition has made in a most lively way and present the most important parts of the whole composition in the form of a brief summary or in an extremely concise arrangement"[17] and Quantz adds that a cadenza "must not introduce too many ideas, must not be too extravagant, but must proceed economically."[18]All of the brilliant figurations and motivic recollections merge seamlessly into the descending bassline motion, as demonstrated in Example 124. The variety, the unexpected elements, and the surprising twists are beyond the descriptions and rules mentioned earlier.

[17] Türk, *School of Clavier Playing*, 298.
[18] Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen,* 182.

Example 123: Mozart, Piano Concerto in E-flat Major, K. 271 III. Rondo, *Eingang* B, Descending Bassline Structure



Example 124: *Eingang* B of K. 271: Bassline Structure



Mozart shows his unique keyboard style solely in the second *Eingang* space. Not only does he take advantage of the fortepiano's light mechanism, but he also highlights the distinctive tone qualities of each register. The final ascending chromatic trill embodies this in particular: instead of portraying the cantabile style, the virtuoso finger movement can be revealed only on the keyboard.

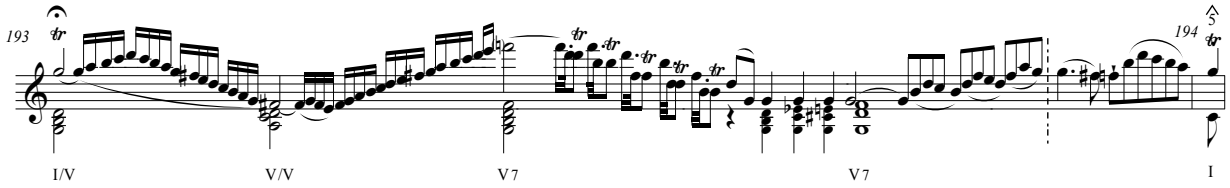
Mozart wrote six *Eingänge* but no cadenza for this Rondo. His *Eingänge* schemas for this piece range from two-part schemas and orchestral tutti retransitions to Fantasia styles, and harmonically-based virtuoso elements best suited to the piano. Most importantly, each *Eingang* illustrates how a musician's awareness of social context and a familiarity with musical topics can provide him a frame of reference that facilitates expression.

Practice III: Mozart's Written-Out *Eingänge*

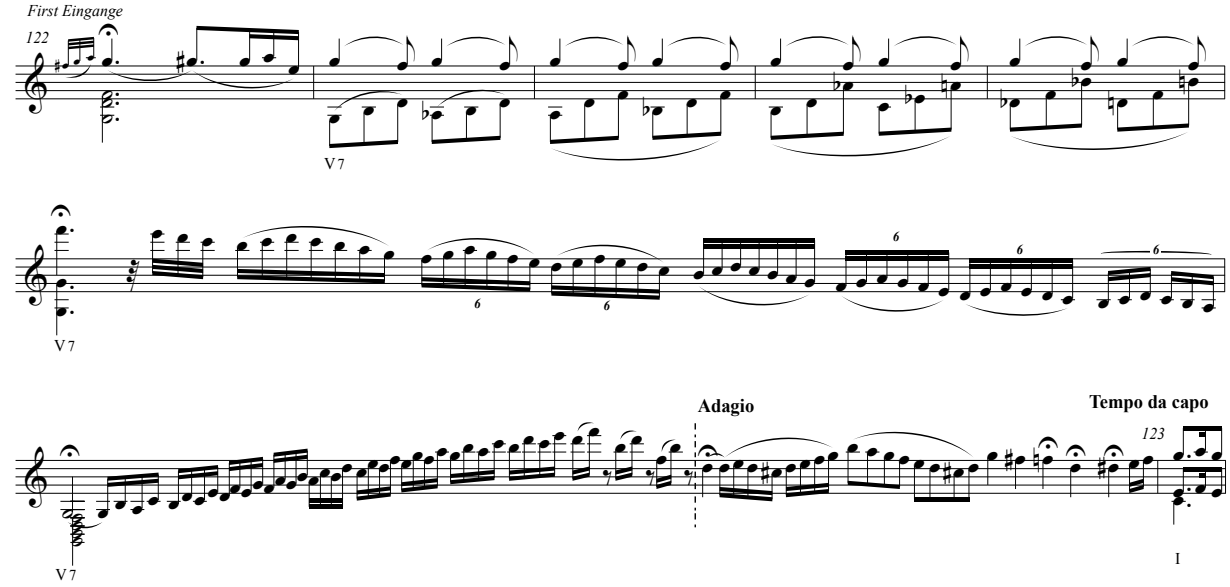
As shown throughout this document, *Eingänge* are grounded on dominant sevenths. The following practice in Example 125 lists all written-out *Eingänge* in Mozart's piano concerti, which are arranged by key. This collection of *Eingänge* demonstrates how Mozart weaves his varied musical ideas during a dominant expansion into memorable, ear-catching musical moments.

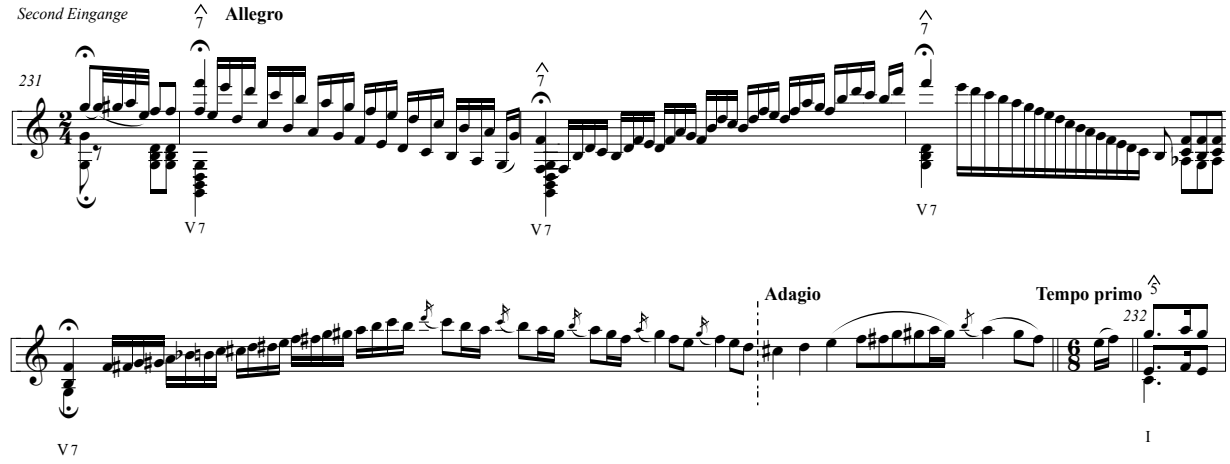
Example 125: Mozart's Written-Out *Eingänge*

K.246 III Rondeau: Tempo di Menuetto

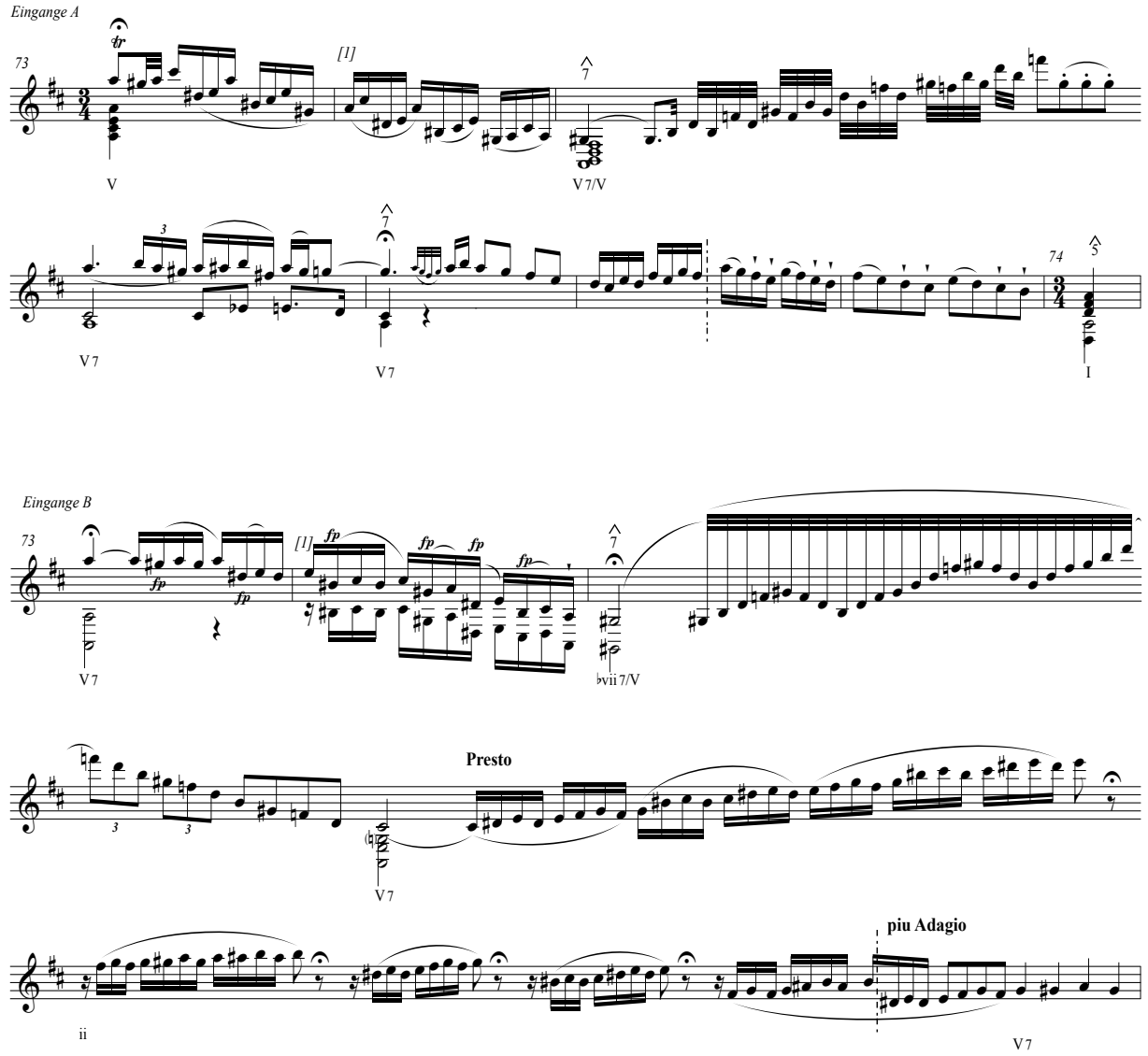


K.415 III Rondeau: Allegro, two Engänge

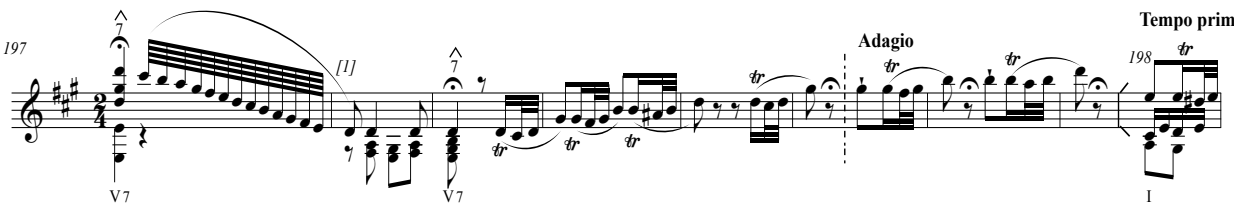




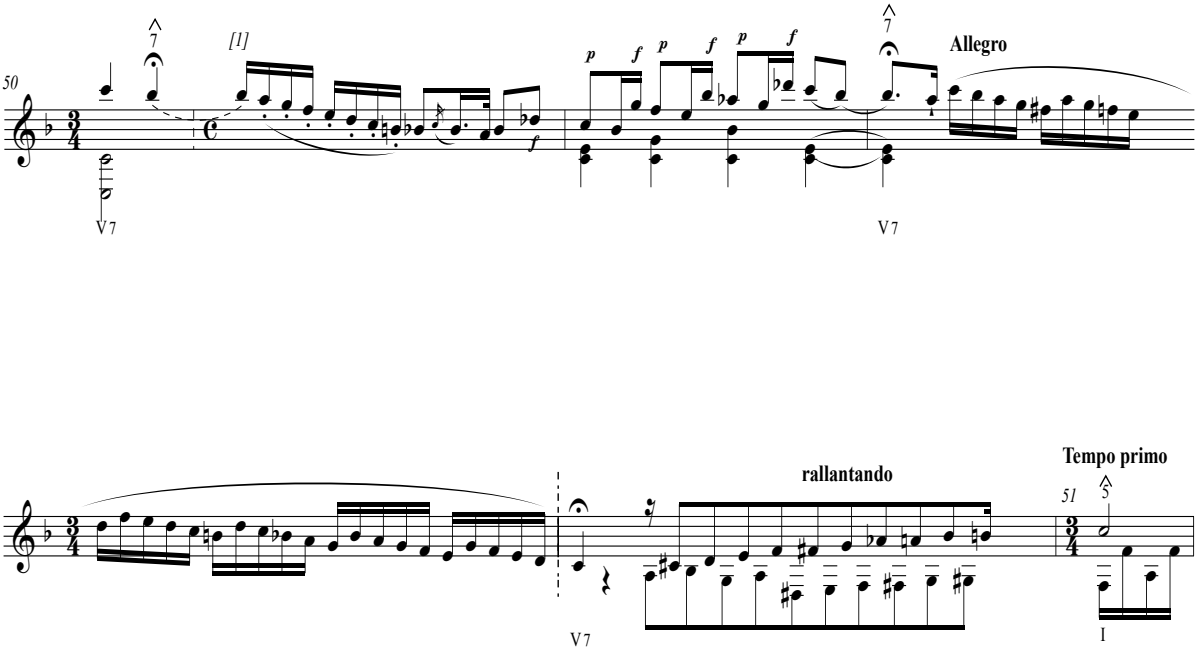
K. 414 II Ferma nell' Andante



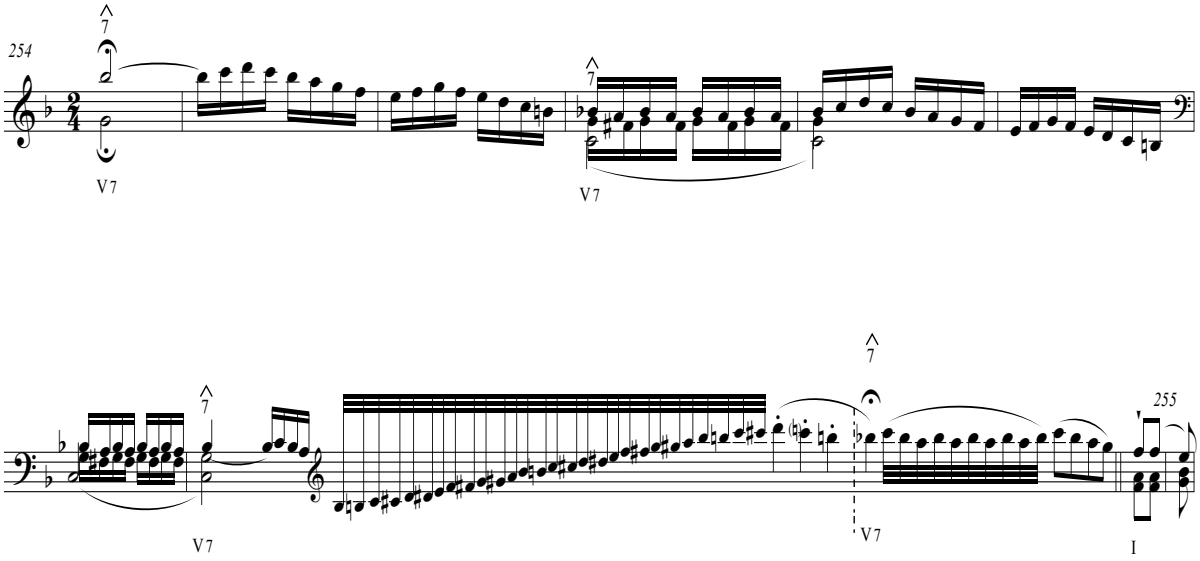
K. 414 III Roudean: Allegretto



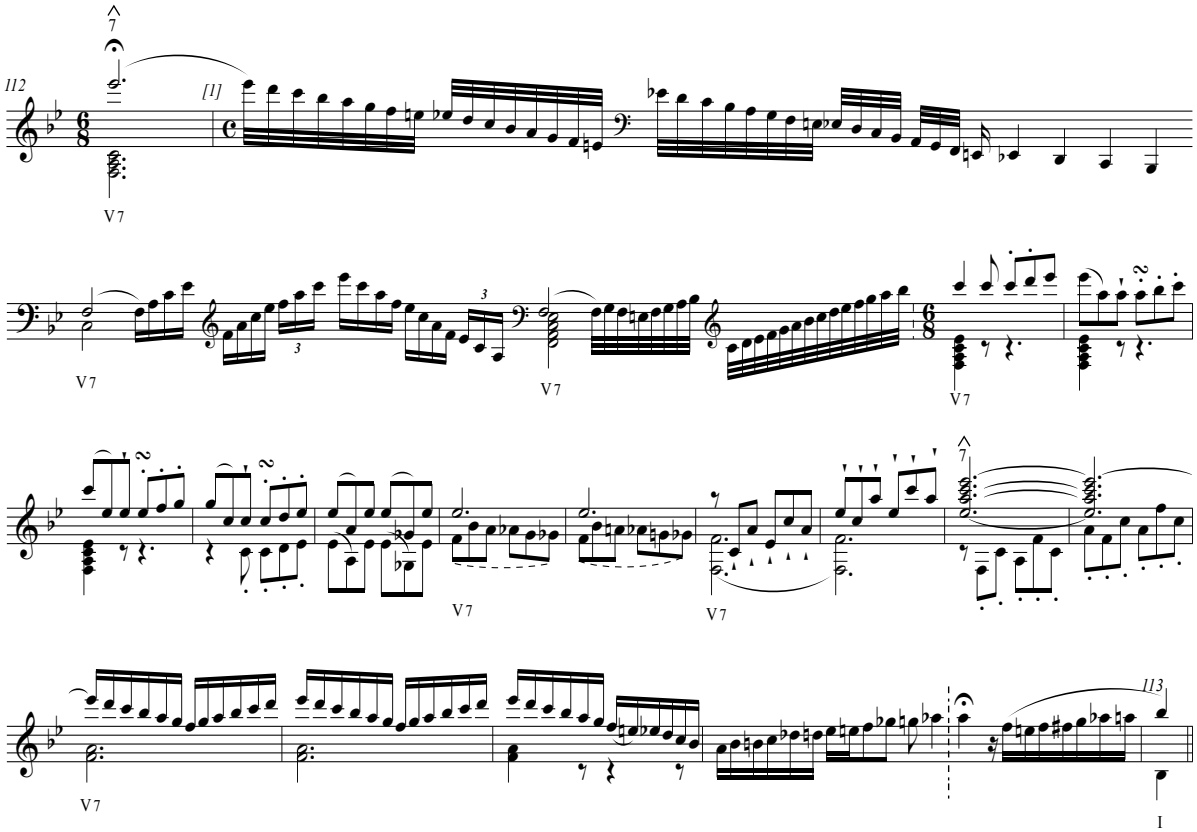
K. 415 II: Andante



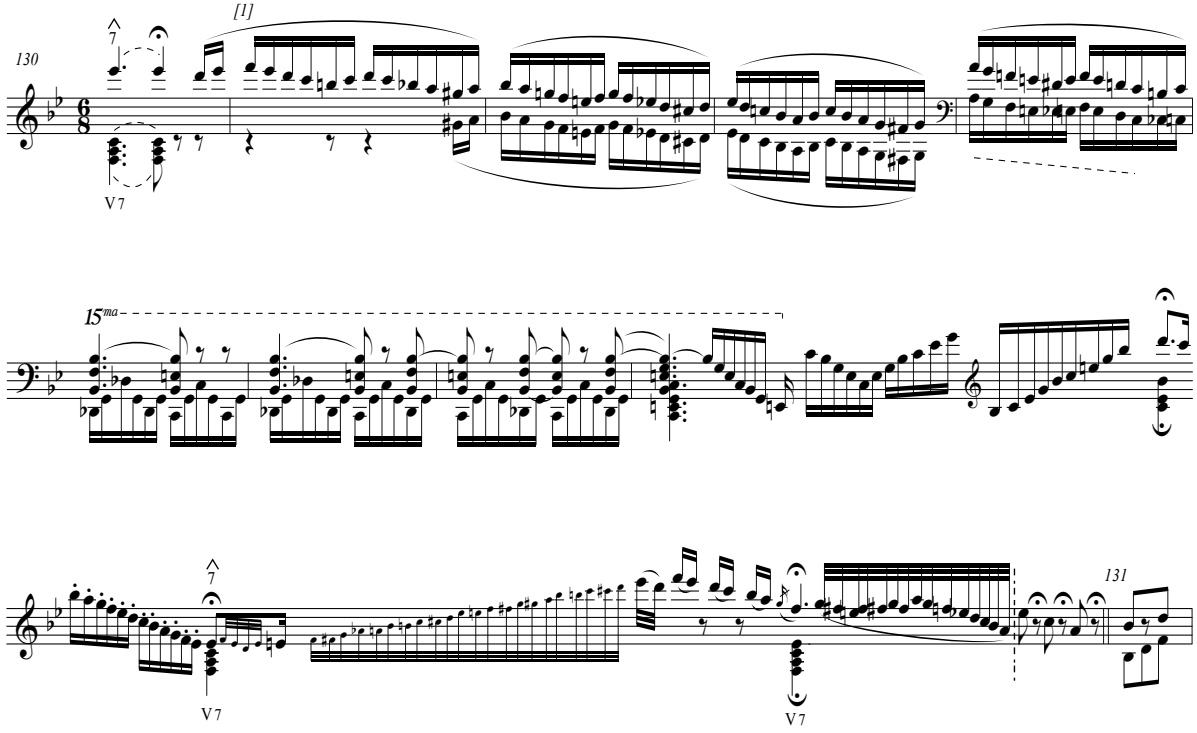
K. 459 III Allegro assai (Rondo)



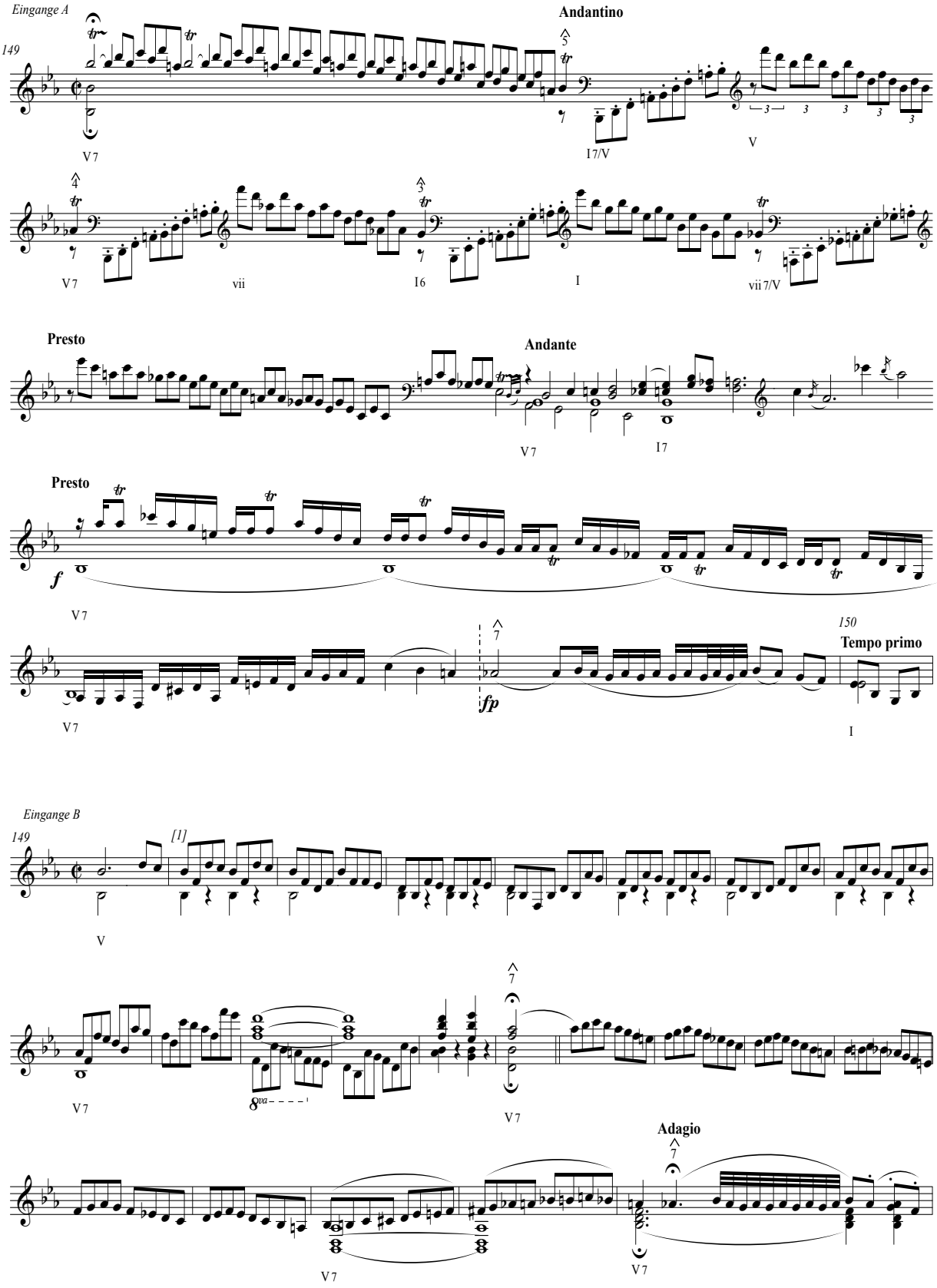
K. 450 III Allegro (sonata-rondo)

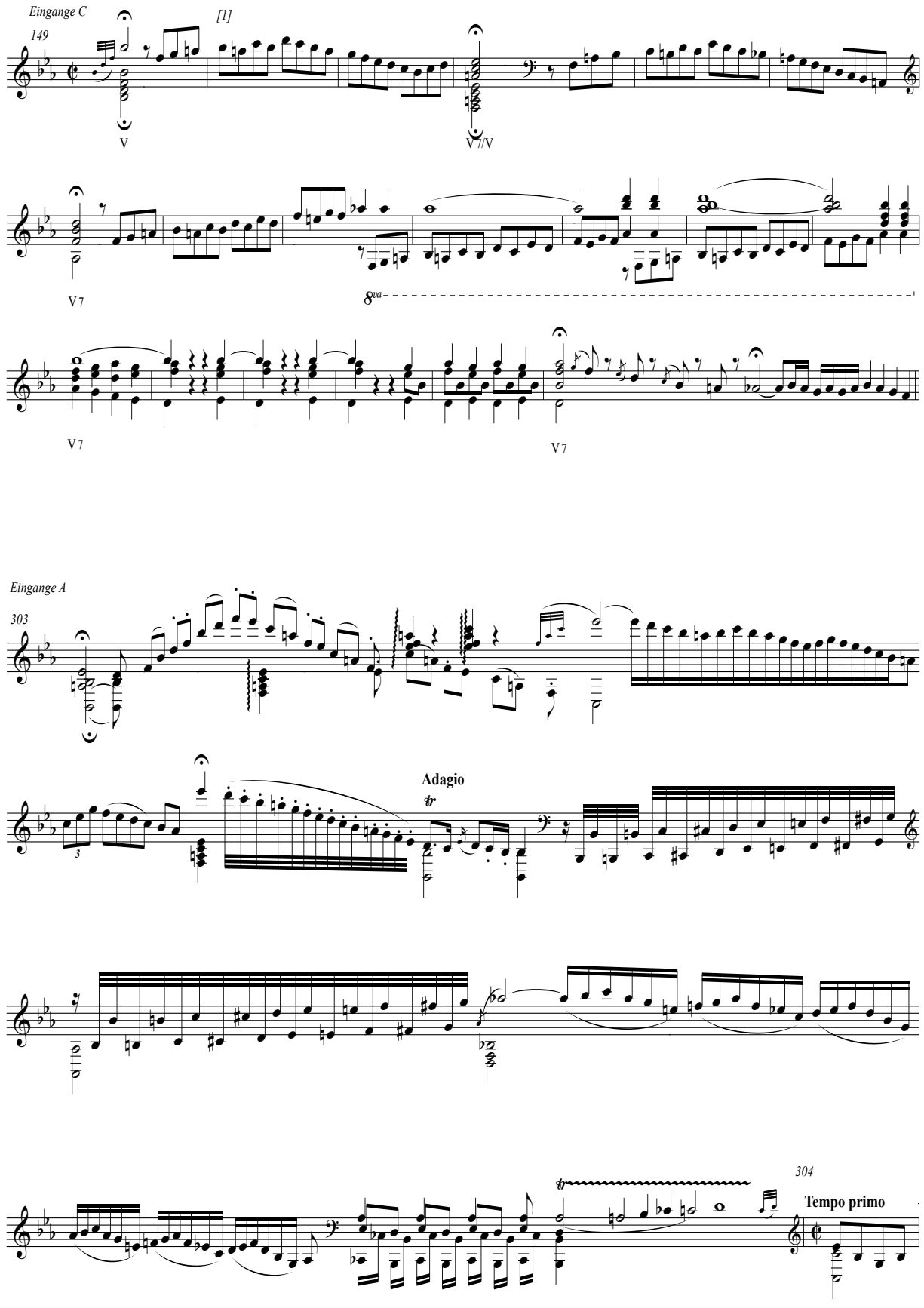


K. 595 III Allegro



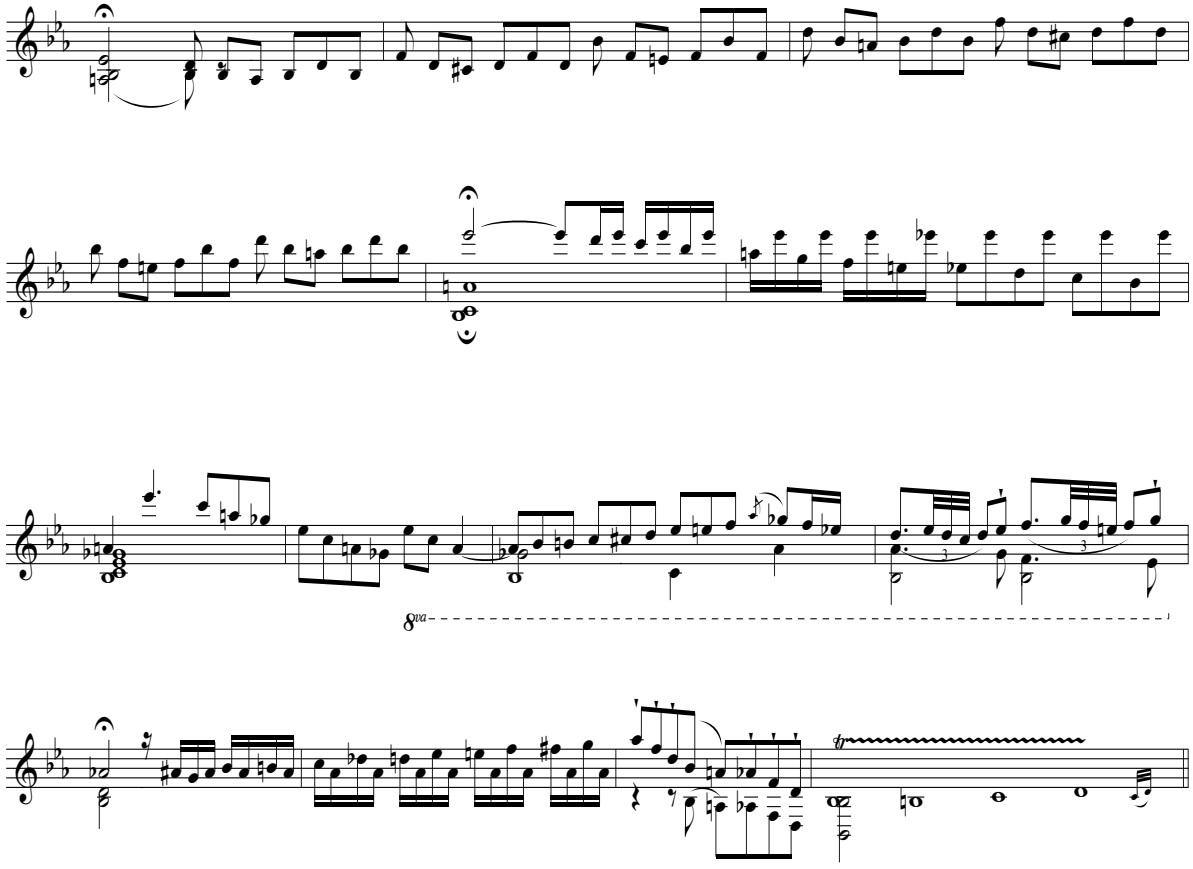
K. 271 III Rondeau Presto: 6 Eingänge




Eingange C
149
[1]
V
V7/V
V7
8va
V7
V7
Eingange A
303
Adagio
tr
304
Tempo primo

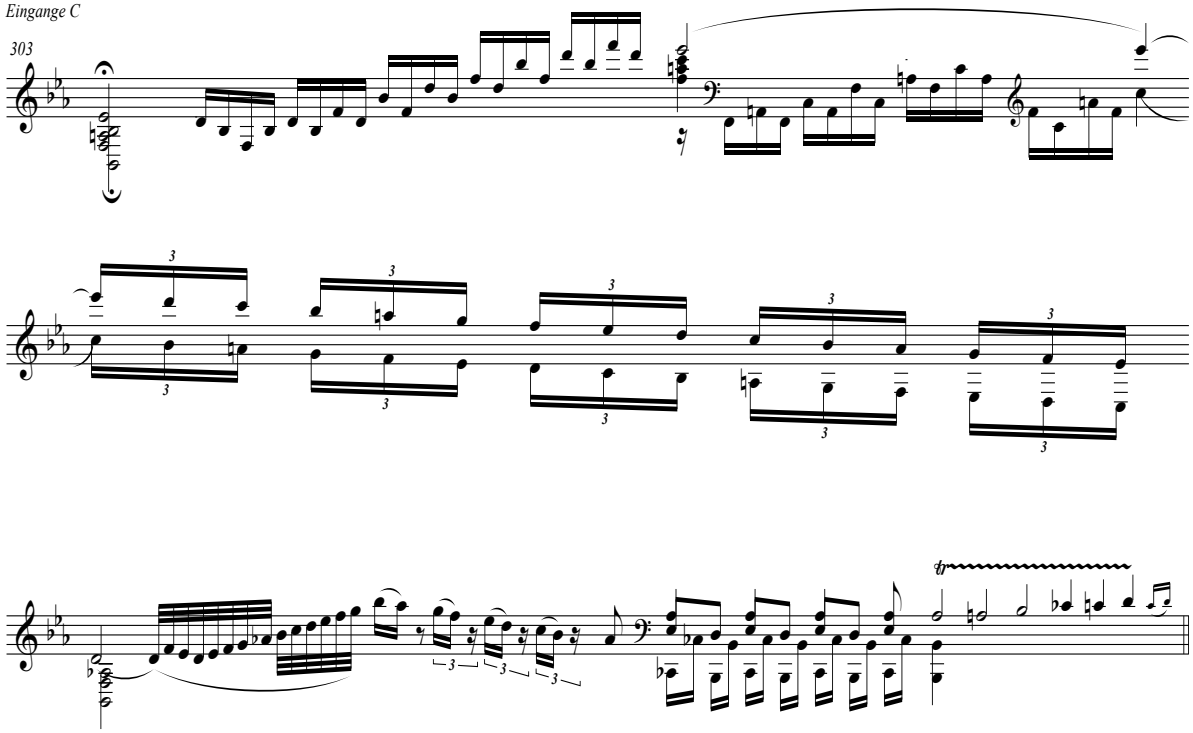
Eingange B

303



Eingange C

303



PART IV: MOZART'S CADENZAS IN PIANO CONCERTI

The following chapters in Part Four is intended to serve as an introduction to improvising Mozartean cadenzas; however, a full discussion of concerti falls outside the scope of this document. The cadenza shares characteristic features of the spontaneously connective caesurae in piano sonatas and *Eingänge*. The identification of style and schematic labels in this chapter considers a single aspect from a performance and a pedagogical perspective instead of defining Mozart's improvisatory language, which once deemed to be free, does not reside within a single style or fixed form. As music theorist William Drabkin points out, "the cadenza is musically analogous to a dream; a well-constructed cadenza should give the impression of 'order disorder'."[1] Out of Mozart's twenty-six piano concerti, sixteen have one or more cadenzas written by Mozart himself.

[1] For further discussion of music theory and related interpretations of Mozart cadenzas, see: William Drabkin, "An Interpretation of Music Dreams: Towards a Theory of the Mozart Piano Concerto Cadenza". In *Wolfgang Amadè Mozart: Essays on His Life and His Music*, edited by Stanley Sadie, (Oxford: Oxford University Press, 1996), 161–77.

Table 14: List of Mozart's Written-out Cadenzas[2]

Mozart Piano Concerto		Keys in Each Movement			Year
no. 5	D major, K. 175	D	G		1773
	Rondo in D major, K. 382	D			1782
no. 8	C major, K. 246	C 3 cadenzas	F 3 cadenzas	C (Rondo Tempo di Menuetto) 1 *Eingang*	1776
no. 9	E-flat major, K. 271	E-flat 2 cadenzas	c minor 2 cadenzas	E-flat (Rondo Presto) 6 *Eingänge*	1777
no. 10	E-flat major, K. 365	E-flat		E-flat cadenza	1775–77
no. 11	F major, K. 413	F	B-flat		1782
no. 12	A major, K. 414	A 2 cadenzas	D 2 *Eingänge* 2 cadenzas	A (Rondo Allegretto) 2 cadenzas and 2 *Eingänge*	1782
no. 13	C major, K. 415	C	F 1 *Eingang* and 1 cadenza	C (Rondo Allegro) 2 *Eingänge*	1782–83
no. 14	E-flat major, K. 449	E-flat		E-flat cadenza	1784
no. 15	B-flat major, K. 450	B-flat		B-flat (Allegro: sonata-rondo) 1 *Eingang* and 1 Cadenza	1784
no. 16	D major, K. 451	D		D cadenza	1784
no. 17	G major, K. 453	G	C 2 cadenzas		1784
no. 18	B-flat major, K. 456	B-flat		B-flat	1784
no. 19	F major, K. 459	F		F (Rondo: Allegro assai) 1 *Eingang* and 1 cadenza	1784
no. 23	A major, K. 488	A			1786
no. 27	B-flat major, K. 595	B-flat		B-flat (Rondo Allegro) 1 *Eingang* and 1 cadenza	1791

[2] All written-out examples in the concerto first movements are cadenzas. There are no *Eingänge* written out in the first movement.

Cadenza and Tonal Architecture: The Three-Section Schema

As discussed earlier, the main difference between *Eingänge* and cadenzas is that the short *Eingänge* have relatively short motivic references, or sometimes without elaborations in the middle development section. Thus, harmonically, *Eingänge* are grounded on the dominant; therefore, the performer must develop the skill to improvise on the dominant expansion. Comparing these to cadenzas, which begin on the tonic six-four and sometimes modulate in the middle developmental section, the bassline ascends to the cadential six-four rather than starting there, allowing more thematic coherence and thematic development based on harmonic sequences and key circles. In his *Versuch*, C. P. E. Bach describes the cadenza over the six-four chord under a fermata as follows:

> On the entrance of an elaborated cadence, the accompanist, regardless of whether a fermata appears over the bass, holds the six-four chord for a while and then pauses until the principal part, at the end of its cadenza, plays a trill or some other figure which requires resolution of the chord. At this point the triad is struck at the keyboard, the seventh being taken as a fifth part.[3]

Quantz adds that cadenzas appear "where there is usually a slight pause on the sixth or fourth above the bass, since these notes leave a stronger impression upon the ear than the others."[4] The six-four chord under a fermata, mentioned above, is bound to its resolution to the dominant and is not to be used independently. Although it contains all of the notes in the tonic and is labeled as a second-inversion triad, it is not quite a tonic, nor a dominant function. By the latter half of the eighteenth century, theorists were careful to distinguish between "cadence" and "cadenza." The close relationship between the cadenza and cadence is reinforced by the

[3] *Versuch über die wahre Art des Clavier zu spielen* (Berlin, 1753). Part I was revised by C.P.E. Bach and published in Leipzig in 1787; the quotations are taken from William J. Mitchell's translation: *Essay on the True Art of Playing Keyboard Instruments* (London, 1949), 380.
[4] Johann Joachim Quantz, *Versuch einer Anweisung die Flöte traviersière zu spielen* (Berlin, 1752). Translated by Edward Reilly as *On Playing the Flute* (London, 1966: 284-287), 183.

harmony. Two kinds of six-four chords will be discussed in this chapter: the fermata $\frac{6}{4}$ and the cadential $\frac{6}{4}$ chords. When used primarily as an embellishment of a dominant chord, which reinforces and expands a perfect cadence that arrives on the fermata point, it is marked as fermata $\frac{6}{4}$. The cadential $\frac{6}{4}$ chord occurs when a cadence moves to V_7 and resolves to I $\frac{5}{3}$ at the closing section of the cadenza, thus making it function as a Cad $\frac{6}{4}$ chord.[5]

Thematic developments became more common in the middle of the seventeenth century, and they reveal the heart of the musical drama.[6] Within the harmonic journey, which starts on a six-four chord and moves toward the dominant seventh chord at the end of the cadenza, a variation of a theme, motif, or fragment of figuration, which is prepared by the dominant, is presented in the middle. After some motivic development through harmonic sequences and key circles, the bass rises in stepwise motion towards the cadential $\frac{6}{4}$ for the final closing cadence. The three-act drama description, mentioned earlier in Chapter 9 and described by Trottier, impeccably matches the harmonic plan in Mozart's cadenzas, which is shown in Table 15.

Table 15: Harmonic Plan of Mozart's Cadenza

Open					Close
Fermata $\frac{6}{4}$					V_7
Opening		Middle		Closing	
Fermata $\frac{6}{4}$	$V_{(7)}$ →	$I_{(6)}$	→	Cad $\frac{6}{4}$	*tr.* V_7
Catalyst	Big Event	Pinch	Crisis	Showdown	Realization

[5] For a discussion and exercise on fermata six-four and cadential six-four chord, see: Chapter Four, page 104 and 135.

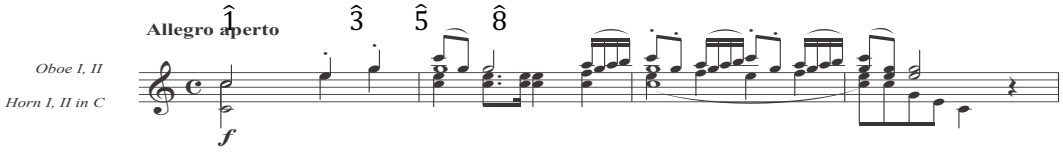
6 For a discussion of the concept of thematic development, see: Jonathan Dunsby, "Thematic and Motivic Analysis." *The Cambridge History of Western Music Theory*, edited by Thomas Christensen (Cambridge: Cambridge University Press, 2002), 907–26.

According to the three-section cadenza outline, as mentioned above, most of Mozart's written-out cadenzas can be divided into the opening flourish, the middle development, and the closing cadence. For instance, in the first movement of Mozart's Piano Concerto K. 246 published in 1776, Mozart wrote three versions of possible cadenzas, arranged from simple to complex, to present how models within the three-section frame can be improvised differently. The first two cadenzas may have been written for the Countess Lützow to accommodate her limited technical ability; these cadenzas are shorter with simple harmonic outline and contain figurations mainly for the right hand.[7] Mozart himself performed this work in Augsburg in 1777 and would have clearly attempted something more challenging such as the third cadenza.[8]

Three-Section Schema and Motivic Reference in Cadenza of Concerto K. 246 in C Major, I.

In the first movement of Mozart's Piano Concerto in C Major, K. 246, the tempo marking, Allegro aperto, and the use of common time, imply a naïve and an easy, openhearted simplicity. Example 126 shows the concerto opening and its clear, broad, and distinct C-major triad motif.

Example 126: Mozart, Piano Concerto in C Major K. 246, first movement, bars 1–4

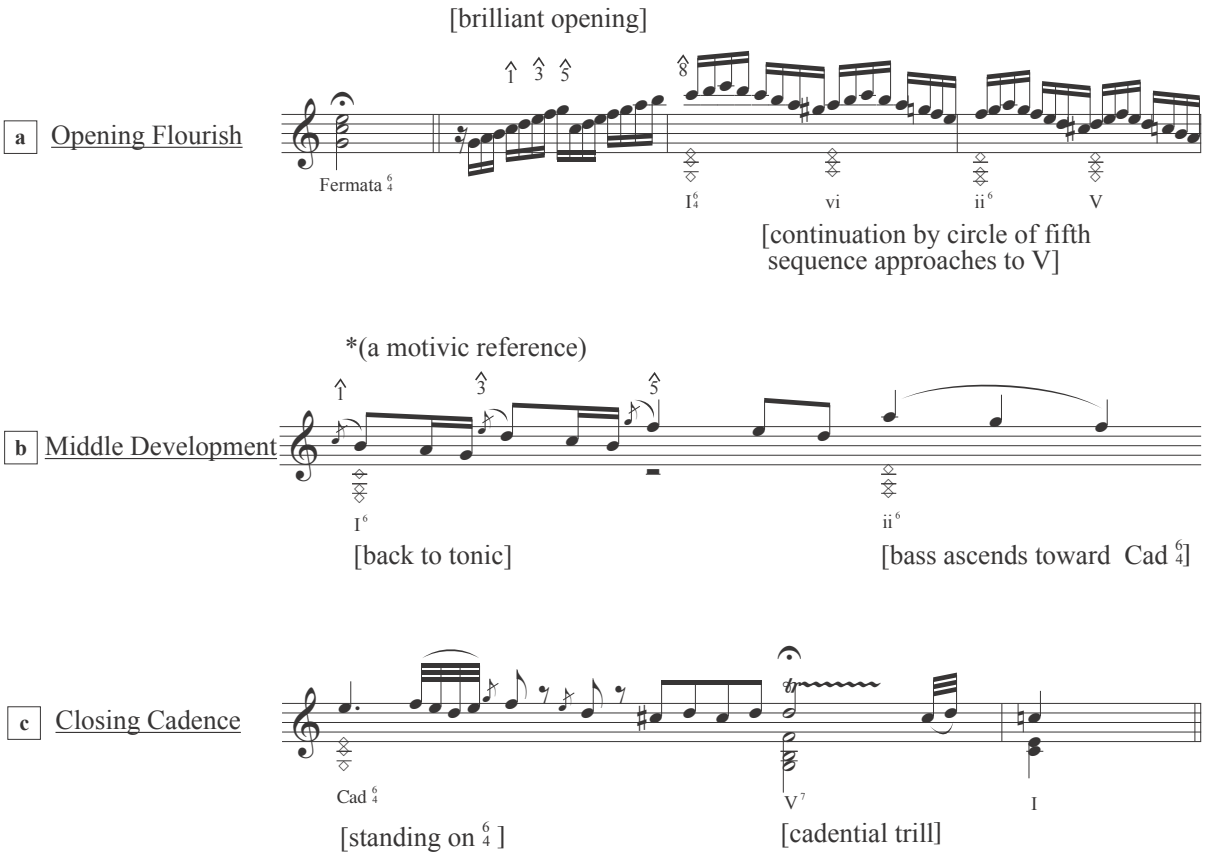


[7] Indirect evidence shows that Countess Lützow and Mozart might both have performed K. 246 in a family gathering held in May 1776. See: Ruth Halliwell, *The Mozart Family: Four Lives In a Social Context.* (Oxford: Clarendon Press, 1998), 218–19; also:: Otto Erich Deutsch, *Mozart, A Documentary Biography* (Stanford: Stanford University Press, 1965), 152–53.

[8] Piano Concerto K. 414 from 1782, the first of his three Vienna Concerti, contains two cadenzas also arranged from simple to complex.

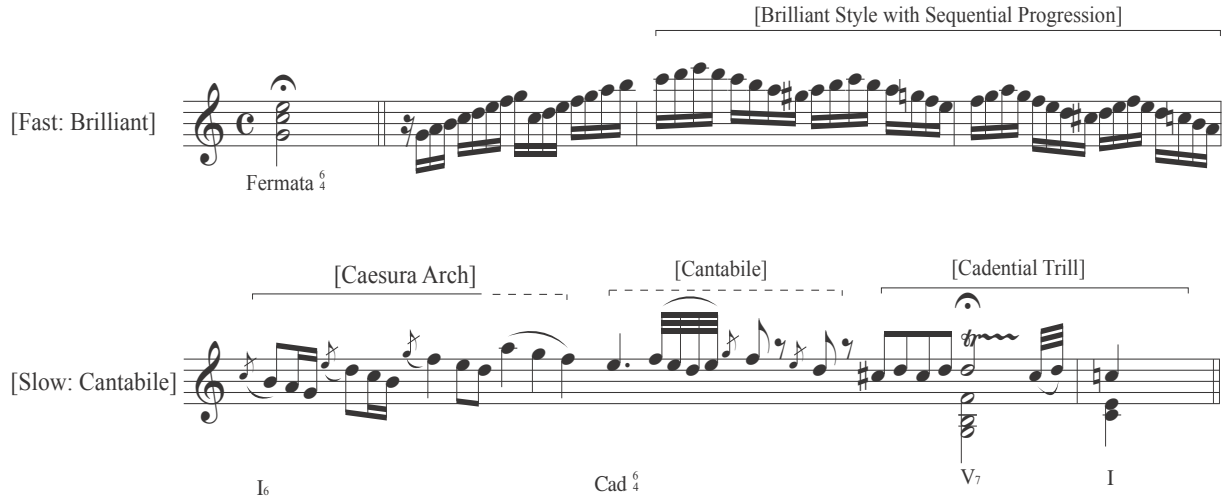
Cadenzas form a coherent whole with their respective concerto movements. In this concerto's Cadenza A, after it opens on the six-four chord, a flourish-filled C-major scale kicks off. The big event in the first part is a series of zigzagging scales on a circle of fifths that sequentially leads toward the dominant (see Example 127 in which chords of the harmonic analysis are shown in diamond shape). When the tonic returns, the middle section utilizes triadic thematic materials, causing a brief motivic reference, along with stepwise descending gestures decorated by appoggiaturas. The tension increases through an ascending stepwise bassline motion toward the closing Cad $\frac{6}{4}$ (see Ex. 127b). The closing cadential section starts on a six-four chord and closes with a trill on a dominant seventh that welcomes the orchestra to rejoin on tonic (see Ex. 127c).

Example 127: Mozart, Piano Concerto in C major, K. 246, I. Allegro aperto, Cadenza A



The brief Cadenza A with its simple figuration can also be presented in a two-part schema as mentioned earlier,[9] as an *Eingang* with brief motivic reference instead of thematic development: fast to slow, brilliant to cantabile as shown in Example 128.

Example 128: Mozart, Piano Concerto in C Major, K. 246, I., Cadenza A, Two-Part Schema



Mozart provides as another option, Cadenza B, in which the figuration is fluent throughout in the right hand with a simple harmonic outline (see Ex. 129a). More motivic references are included in this cadenza. After an ear-catching opening, a motif from the transition in bar 23 elaborates on the opening motif, $\hat{1}$, $\hat{3}$, and, $\hat{5}$ with nonstop sixteenth note motion. Continuing with arpeggios on the dominant, the big event reaches the highest notes of this cadenza and the highest notes on the five-octave fortepiano on F.

The middle section displays a collection of motivic references from transition and retransition where the main character wanders on the tonic with a scale decorated by turns in

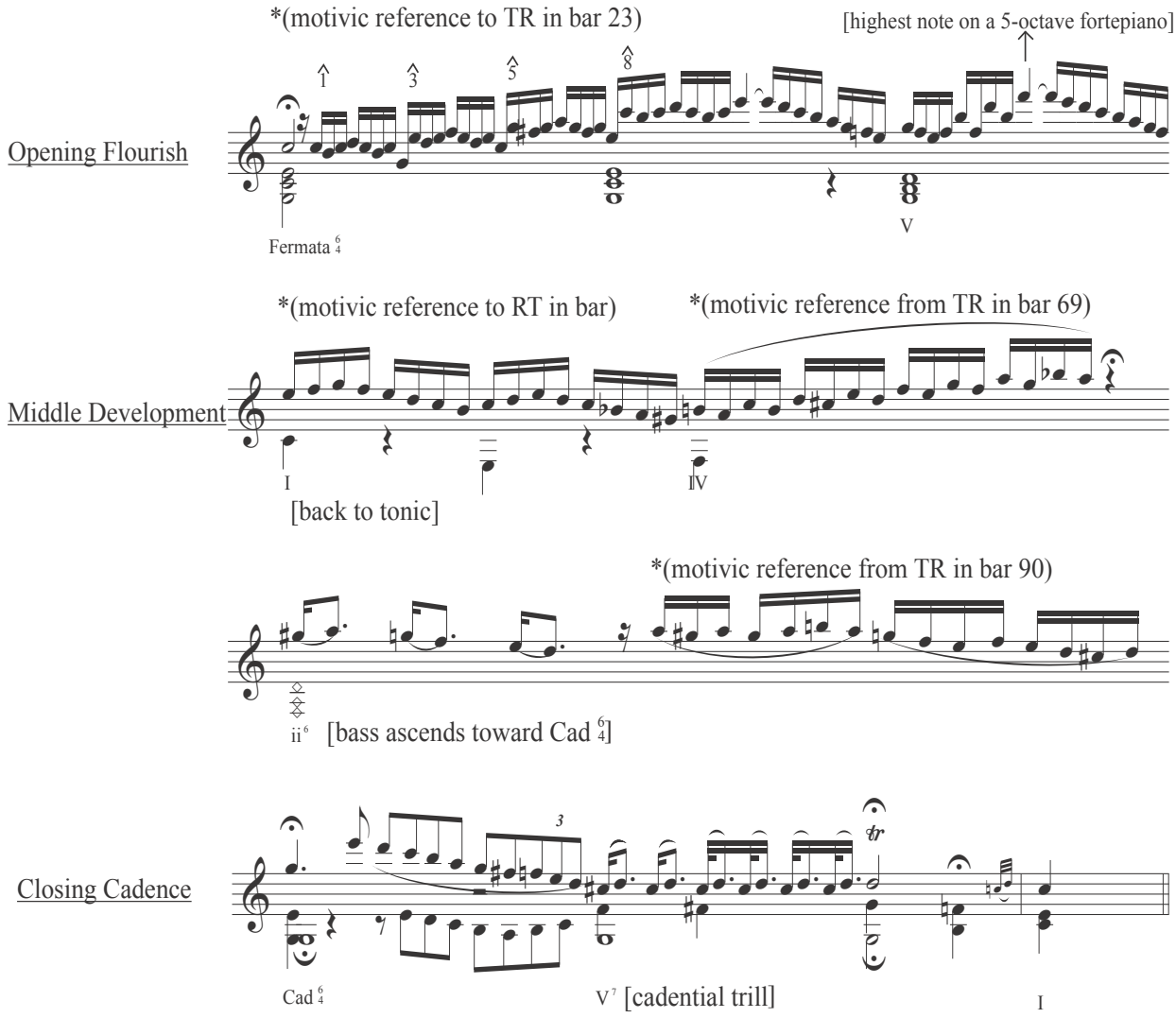
[9] See chapter seven, page 216.

zigzag motion (which appears in the accompaniment in retransition, for instance, in bars 16 and 54), then is suddenly pinched, rising to a rest with a fermata. A melody without bass support follows; the appearance of piano recitative[10] indicates a crisis and sense of wandering, with a suggested minor sixth chord on the supertonic marked in a diamond shape in Example 129. A motif from transition in bar 69, which elaborated the cantabile melody, then brings the passage toward the Cad $\frac{6}{4}$.

At the beginning of the closing section, Mozart embellishes his fermata six-four chord with a canon-like grand gesture in parallel tenths.[11] A singing-style trill on the dominant accelerates from the lower two preceding notes to close the cadenza. Cadenza B contains more motivic references and embellishment; thus, schematically, it needs more space than Cadenza A. It is in the three-section schema, which is expanded from a two-part fast-to-slow, brilliant-to-cantabile plan and adds a caesura arch in the middle (see Example 129b).[12]

[10] Pianist and fortepianist Robert Levin defines "piano recitatives" as "passages in which a melody in the right hand is accompanied by repeated chords in the strings." See: Robert Levin, "Instrumental Ornamentation, Improvisation and Cadenzas". In *Performance Practice: Music After 1600*, edited by Howard Mayer Brown and Stanley Sadie, (New York: W. W. Norton, 1990), 276.
[11] Exercises for cadences embellishment, see: chapter 5, page 132, Example 51.
[12] In musical examples in this chapter, a * sign will be used to indicate when motivic and thematic are used. The abbreviations refer to: TR=transition, RT=retransition, ORCH=orchestra.

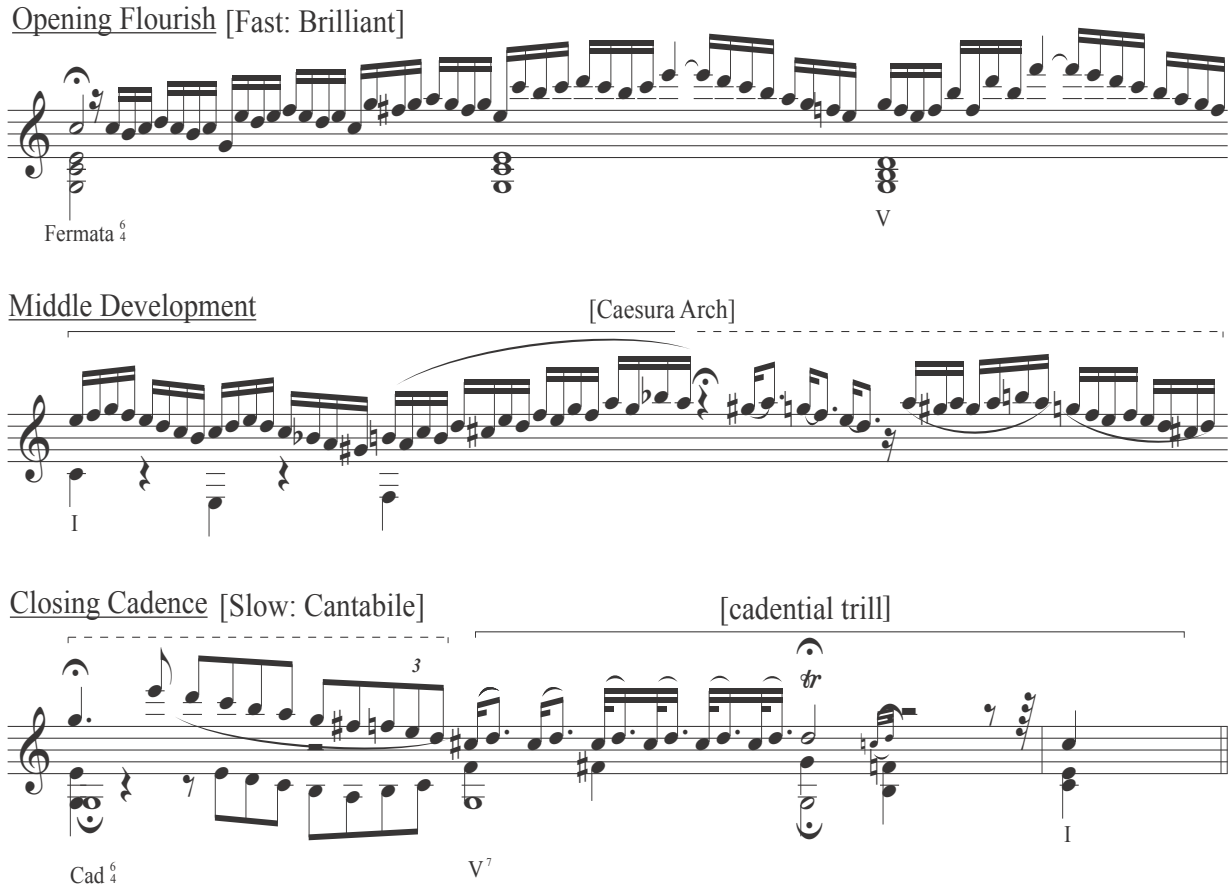
Example 129a: Piano Concerto in C Major K. 246, I., Cadenza B



Harmonically, both cadenzas in the first movement of Mozart's Piano Concerto in C Major, K. 246 show a simple framework in three sections, but they are expressed differently. Because Cadenza B applies several short motivic references from transition and re-transition, the middle section is more elaborated. Comparing Examples 129a to 129b, Example 129b illustrates how Mozart weaves these reminiscent motifs seamlessly into his figuration. The cantabile

melody in the closing section is prominent through the use of imitation in parallel tenths instead of a brilliant energy-gained figuration.

Example 129b: Piano Concerto in C Major, K. 246 I., Cadenza B, Three-Section Schema

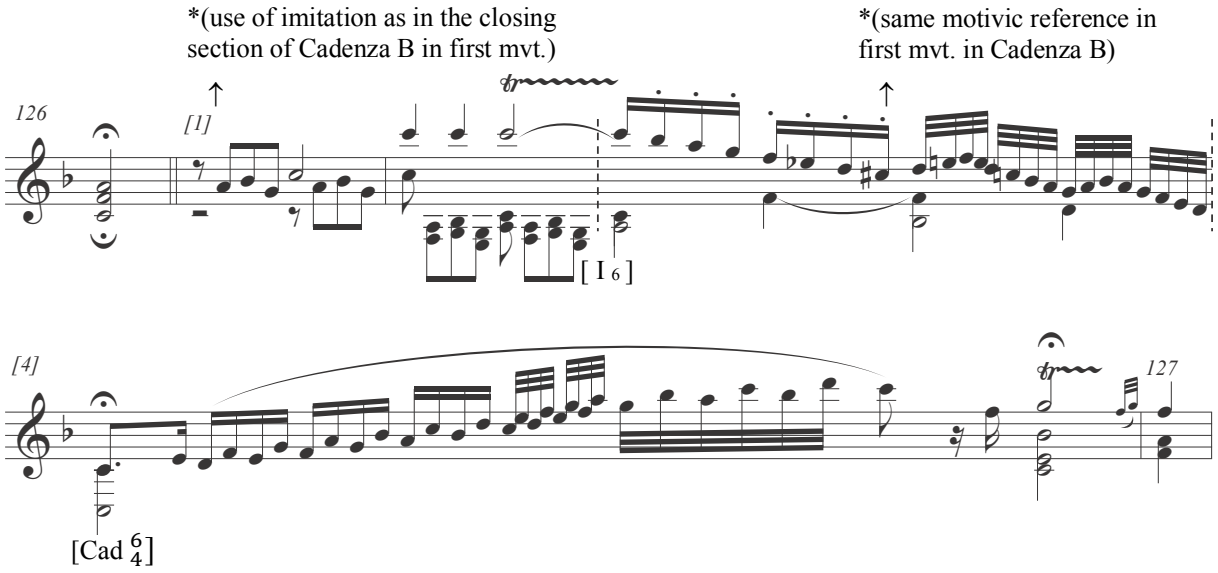


The use of imitation and motivic references, which seamlessly merge into a simple three-section, is also shown in the cadenza of the second movement of K. 246.[13] As shown in Example 130, the three-section was divided by figurations (marked with dashed lines on Ex. 130); these

[13] The coherency also shows in the third movement of K. 246, where Mozart wrote an *Eingang* instead of a cadenza, in his use of fluent figuration that he applies simple upward and downward scale, turn with scale and broken chord on the dominant. See Chapter Seven, pages 220–222.

figurations include eighth-note imitation, running sixteenth-note scale, and a Cad $\frac{6}{4}$ followed by cadential trill on dominant seventh. In the middle section, Mozart creates coherence through his use of motivic references in both the first and the second movements, where he uses the same scale that is decorated by a turn.[14]

Example 130: Mozart, Piano Concerto in C Major, K. 246, II., Cadenza A



Instead of employing brief motivic reference, Cadenza C in the first movement of Concerto K. 246 undertakes a major thematic development. The thematic development will be examined later, as the following discussion will focus on short cadenzas in the three-section, using a brief motivic reference and motivic development on sequences for an expanded one.

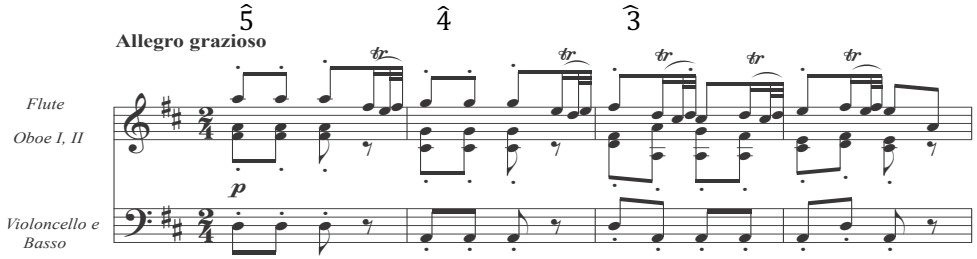
[14] Comparisons and exercises on Mozart's decorative scales and arpeggios, see chapter six, pages 185–88.

Three-Section Schema and Motive Development in the Cadenza of Rondo in D Major, K. 382

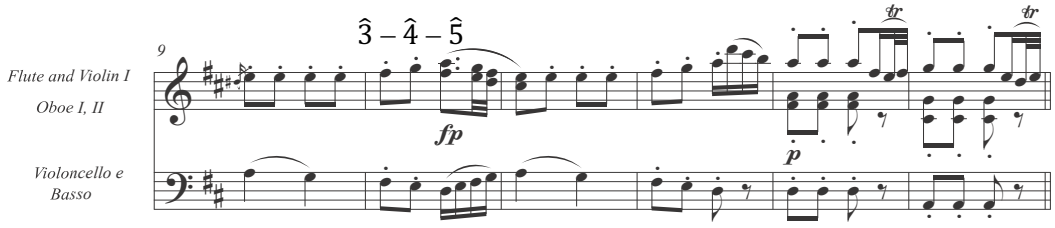
A short cadenza that elaborates motivic reference into motivic development in a three-section can be found in Mozart's Rondo in D Major, K. 382. Mozart himself seems to have been delighted with it, as shown in a letter to his father, Leopold in 1782, in which he says: "I beg you to guard it like a jewel – and not to give it to a soul to play … I composed it specially for myself – and no one else but my dear sister must play it."[15] This delightful, gallant Rondo is formally a set of variations. It is marked Allegretto grazioso in 2/4 and contains two tempo changes from Adagio to Allegro in 3/8 before returning to the initial theme in Allegretto. The Allegretto grazioso opens with a short and light three-note descending motif on scale degrees 5 –4 –3 (Examples 131a). Another contrasting, lyrical three-note ascending motif of 3 –4 –5 follows, and both motifs form the opening theme (see Example 131b).

Example 131: Rondo in D Major, K. 382, Motifs
(a) Three-Note Descending Motif: 5 –4 –3, bars 1–4
(b) Three-Note Ascending Motif: 3 –4 –5, bars 9–14

(a)



(b)



[15] Wolfgang Amadeus Mozart, *The Letters of Mozart & His Family*, vol. III, trans. Emily Anderson and Ludwig Schiedermair, ed. C. B. Oldman (London: MacMillan and Co., 1938), 1189.

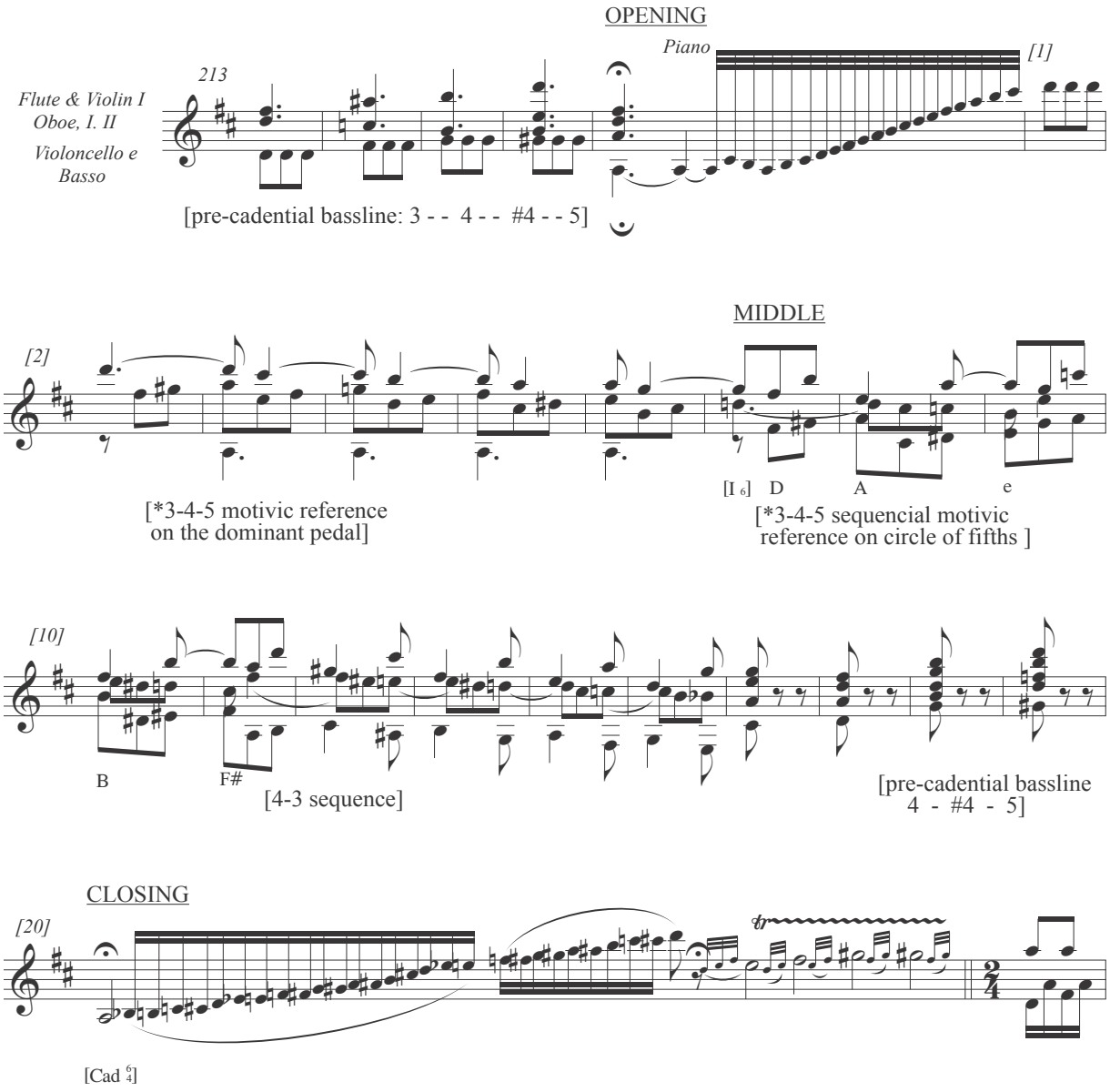
Recalling the musical moments that are most memorable, including melody, rhythm or other events in context, will offer a valuable insight when improvising cadenzas; the effortless allusions to familiar musical elements attracts attention and stimulate brain activity. As examined in Practice III, developing musical ideas in Mozart's works through the use of a sequential formula such as a circle of fifths progression offers an intimate expression that brings the emotional content to its climax.[16] One example would be Mozart's Cadenza in Rondo K. 382 in D Major (see Ex. 132).

Mozart weaves these two motifs in Example 131 into a brief but intriguing cadenza by using sequential formulas. After an ear-catching decorative flourish of a scale, four dominant chords repeatedly emphasize the cadenza's opening on an ascending three-note motif. An intriguing middle section continues the 3-note motif in the bass. The motif develops by using a circle of fifths progression and is followed by the descending 3-note motif on a 4–3 sequence. These two sequences which musically depict the main characters are being ubiquitous.

The musical drama intensifies by bassline ascending in a 4 –♯4 –5 motion toward the closing Cad $\frac{6}{4}$ in both bar 214 and in bar 17 of the cadenza. The closing section is the first showdown, containing a long chromatic scale. Its' resolution is in the breathtaking high register, with a chain of mordent-decorated trills ascending from scale degrees 2 –3 –4 –♯4 –5 on the dominant seventh, which corresponds to the trill and stepwise motifs throughout the movement.

[16] See Chapter Five, pages 123–49.

Example 132: Mozart, Rondo in D Major, K. 382, Cadenza



CHAPTER TEN:
MOTIVIC REFERENCE, THEMATIC DEVELOPMENT, AND THE THREE-SECTION SCHEMA IN CADENZA

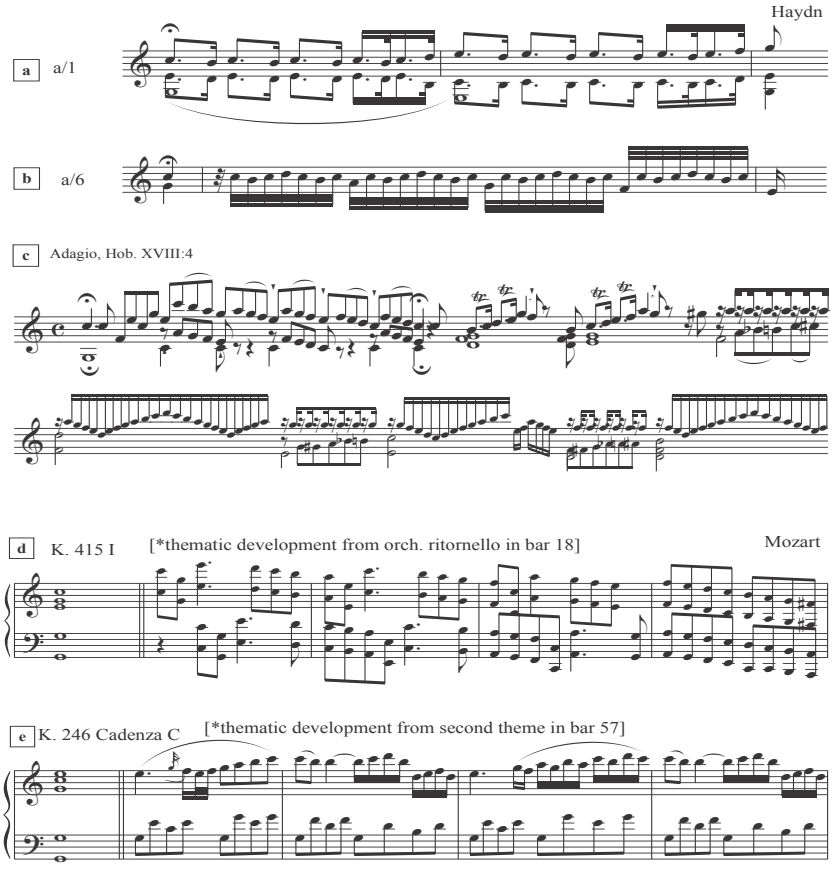
Most cadenzas take place in first movements (or, at the very least, every first movement will have a cadenza), and in these sonata-concerto forms, the cadenza interrupts the final ritornello—which, from a formal perspective, occurs after the sonata form is already over. It's different from the placement of the connective caesura in a piano sonata and the *Eingang*, which occur between the retransition and the refrain and would be most suited to rondos (return to main theme) or, in sonata form, possibly the gap between end of development and return to main theme (retransition). Thus, fundamentally, the location of the *Eingang* and the typical cadenza are quite different, and not interchangeable.[1]

A Mozartean cadenza contains more dramatic elements, characters, and storylines. The treatment of a motif corresponds to the length of cadenza: the longer the cadenza, the more space for development. Thus, in order of cadenza length from short to long, Mozart incorporates motivic reference, motivic development, and thematic development. When referring to motif within the brief connective links, in the transition and re-transition, a simple and straightforward cadenza in a three-section is revealed; for instance, cadenzas in the first movement of K. 246, Mozart use a motivic reference similar those in his *Eingang,* which occur within the space of one or two beats. Alternatively, in the cadenza of K. 382 in D Major, Mozart uses sequential progression and circle of fifths for elaborating his motivic development, resulting in a more compelling musical story. When thematic development denotes the main prominent melody in the first or second theme, an increased dramatic event is created.

[1] Exception occurs in the third movement of Concerto K. 414 which the placement of *Eingang* and Cadenza are switched. Some rondo movements or finales—for instance, in concerto K. 382—do indeed have cadenzas, and those might correspond more naturally to the *Eingang* location.

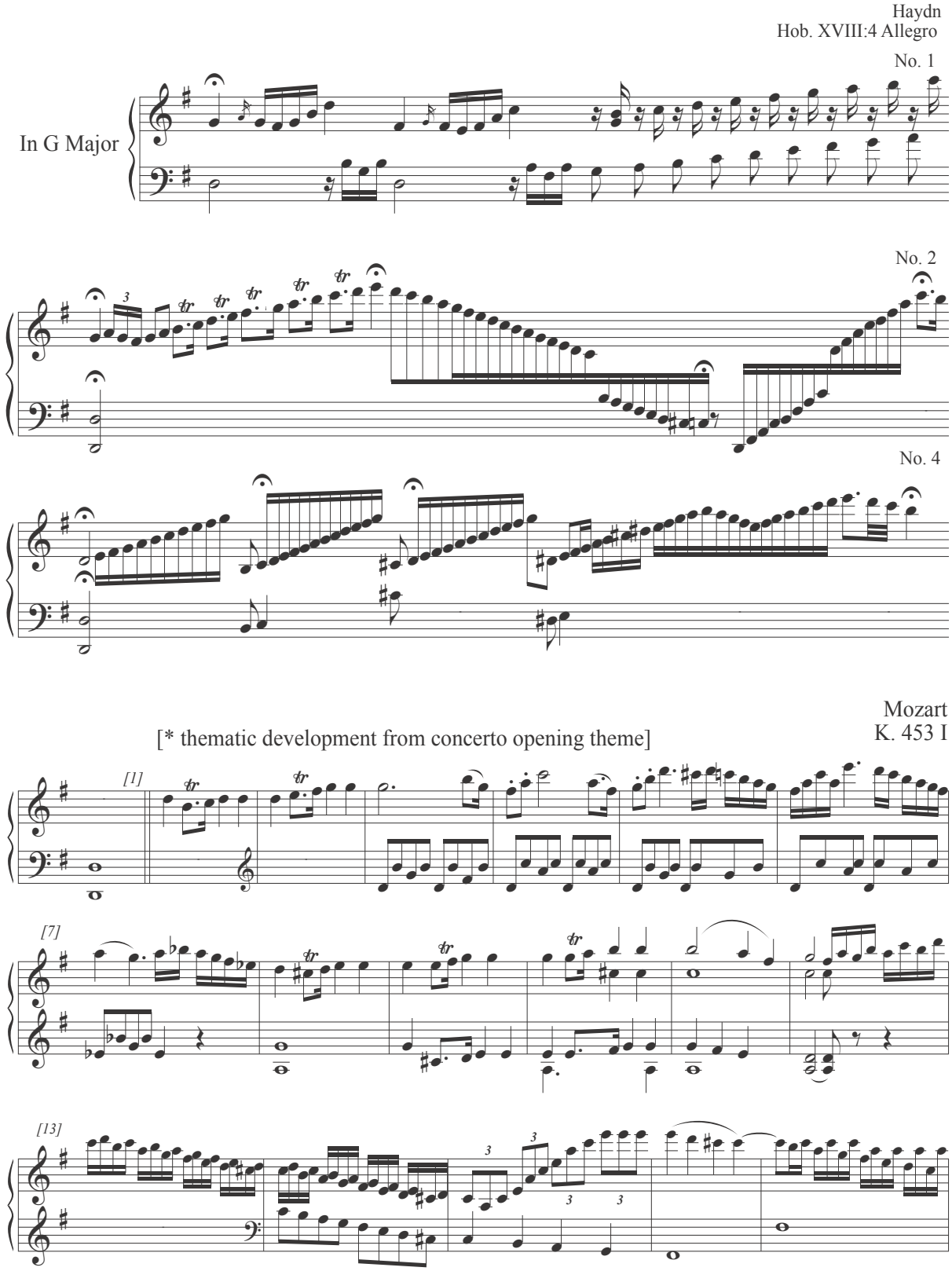
Even in a short cadenza with simple figurations, as mentioned in Cadenza A and Cadenza B of K. 246, Mozart still implies motifs from the concerto movement. Compared to the cadenza opening in Haydn's cadenzas, Mozart overwhelmingly favors motivic reference and thematic development in his cadenzas. As shown in the list of Examples 133 and 134, Haydn creates charming effects based on harmonic rhythms with virtuoso or brilliant figuration. In these energy-gained figurations, especially in the cadenza of the second movement of the Adagio from his Concerto in G Major, Hob. XVIII:4, the proper application on dampers will amplify the rhythmic charm on the harmony.[2]

Example 133: Comparison of C-Major Cadenza Openings in Haydn and Mozart[3]



[2] Joseph Haydn, *Konzerte Für Klavier (cembalo) und Orchester.* edited by Horst Walter and Bettina Wackernagel. (München: G. Henle, 1983), Anhang: Cadenzas of the age of Haydn, 169.
[3] Abbreviations in this chapter: P means thematic development denotes to the main prominent melody, either in the first or second theme. Orch=orchestral; TR=transition; RT=retransition; THEME-D=thematic development.

Example 134: Comparison of G-Major Cadenza Openings in Haydn and Mozart



Whether denoting prominent melodies or adapting fragments from transitions or retransitions, the opening sections of Mozart's cadenzas represent his use of figurations that respond to the whole movement's character, as shown in the Cadenza C for the C Major Concerto K. 246 and in the cadenzas for K. 453 in G major, and K. 175 and D K. 451 in G Major. When thematic developments use the main theme, this indicates a dramatic event and necessitates a longer cadenza, as in the cadenza of Concerto K. 414 in A Major.

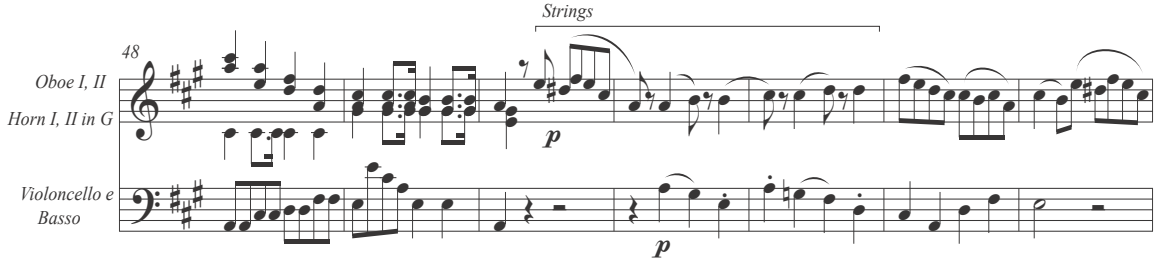
Motivic Development and Thematic Development: Concerto K. 414 in A Major, First Movement

We mentioned that Mozart provides simpler cadenzas as well as more complicated ones for performers of different improvisatory levels in his first movement of Concerto K. 246 in C Major. Similarly, in his first movement of Concerto K. 414 in A Major, Mozart also provides two cadenzas in this fashion. Using a harmonic schematic plan as the foundation, Mozart initiates his figuration with motivic reference and with stylistic textures in his cadenzas, as shown in Examples 135 and 136.

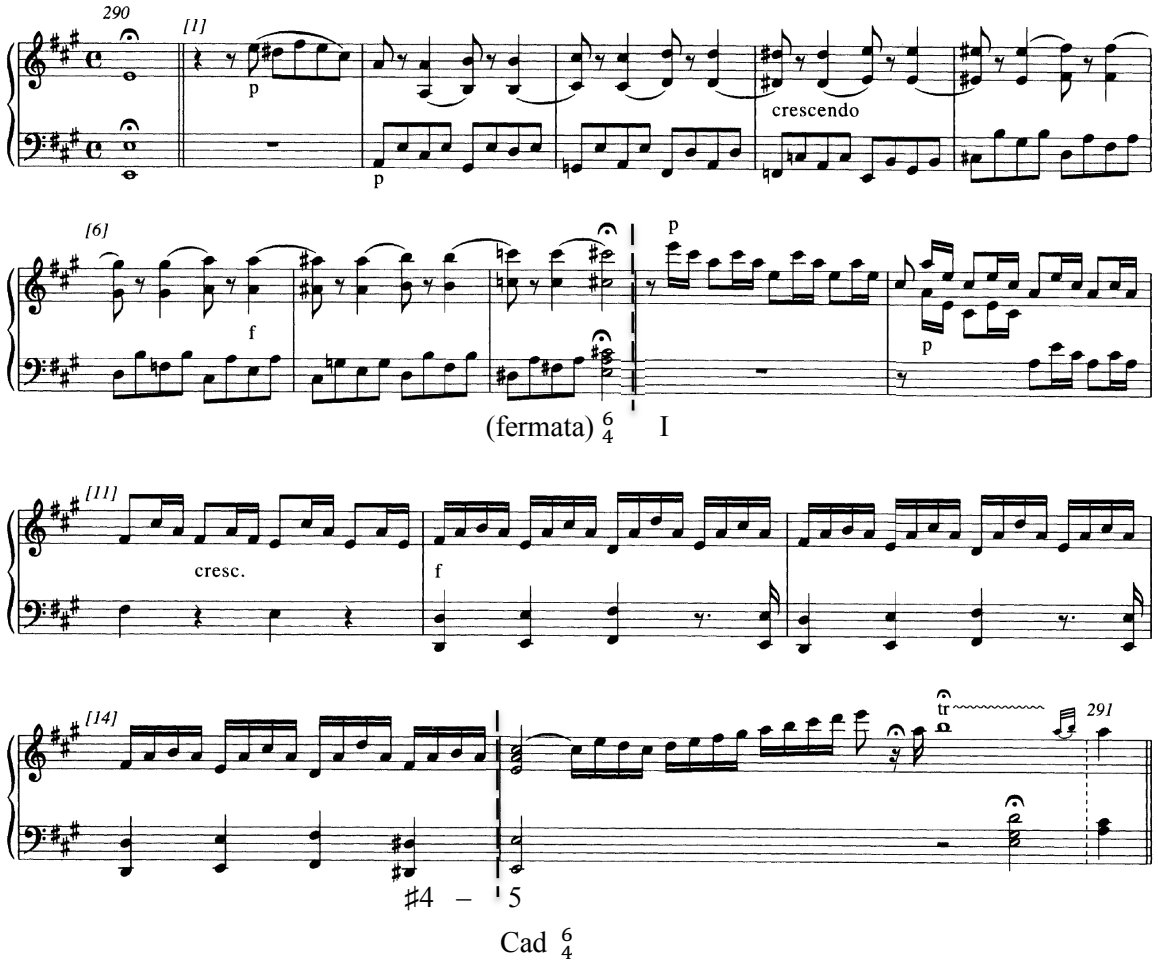
Example 135b shows a simple three-section schema for his Cadenza A, with each section divided by dotted lines. The opening motif of the appoggiatura with a turn followed with a slurred ascending stepwise motion is adapted from fragments of the transition of the orchestra ritornello in bar 50 before the piano solo enters (Ex. 135a). Although short, Mozart amplifies the passage's musical effect with a chromatic bass descending towards the dominant; however, instead of the dominant chord, Mozart pauses on another six-four chord with fermata in bar 8, which acts like a structural fermata $\frac{6}{4}$.The bass, in octaves, moves from scale degree 3 –4 –♯4 –5 along with a crescendo before arriving on the Cad $\frac{6}{4}$; all these factors allude to an orchestral tutti. The fast figuration without thematic development that follows in bar 9 indicates a solo in

brilliant style that directs the cadenza to its close.

Example 135: Mozart, Piano Concerto in A Major, K. 414, I.
(a) Motif from the Second Melodic Theme from First Ritornello, K. 414, bars 48–54



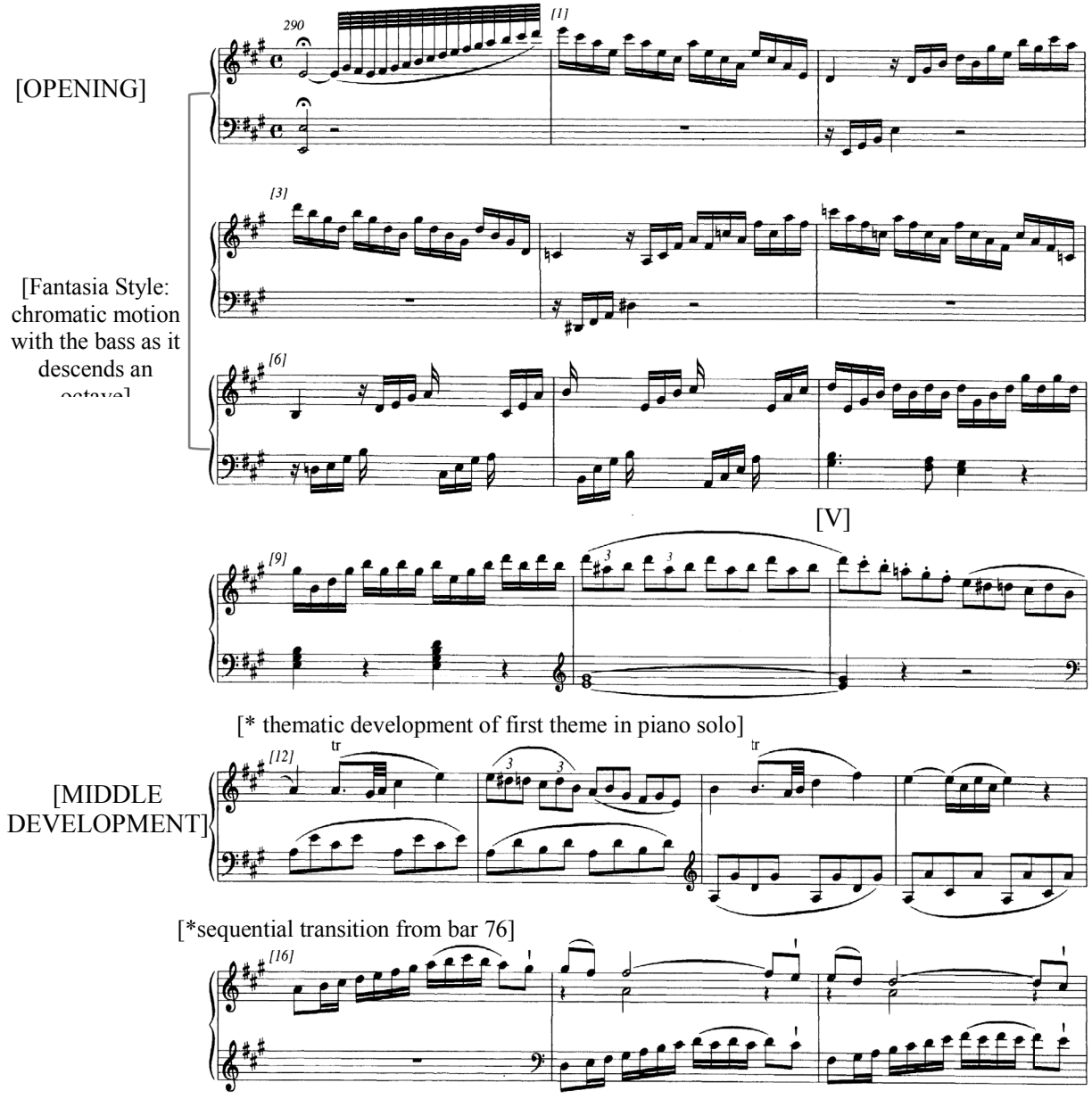
Example 135: (b) Piano Concerto in A Major, K. 414, I., Cadenza A



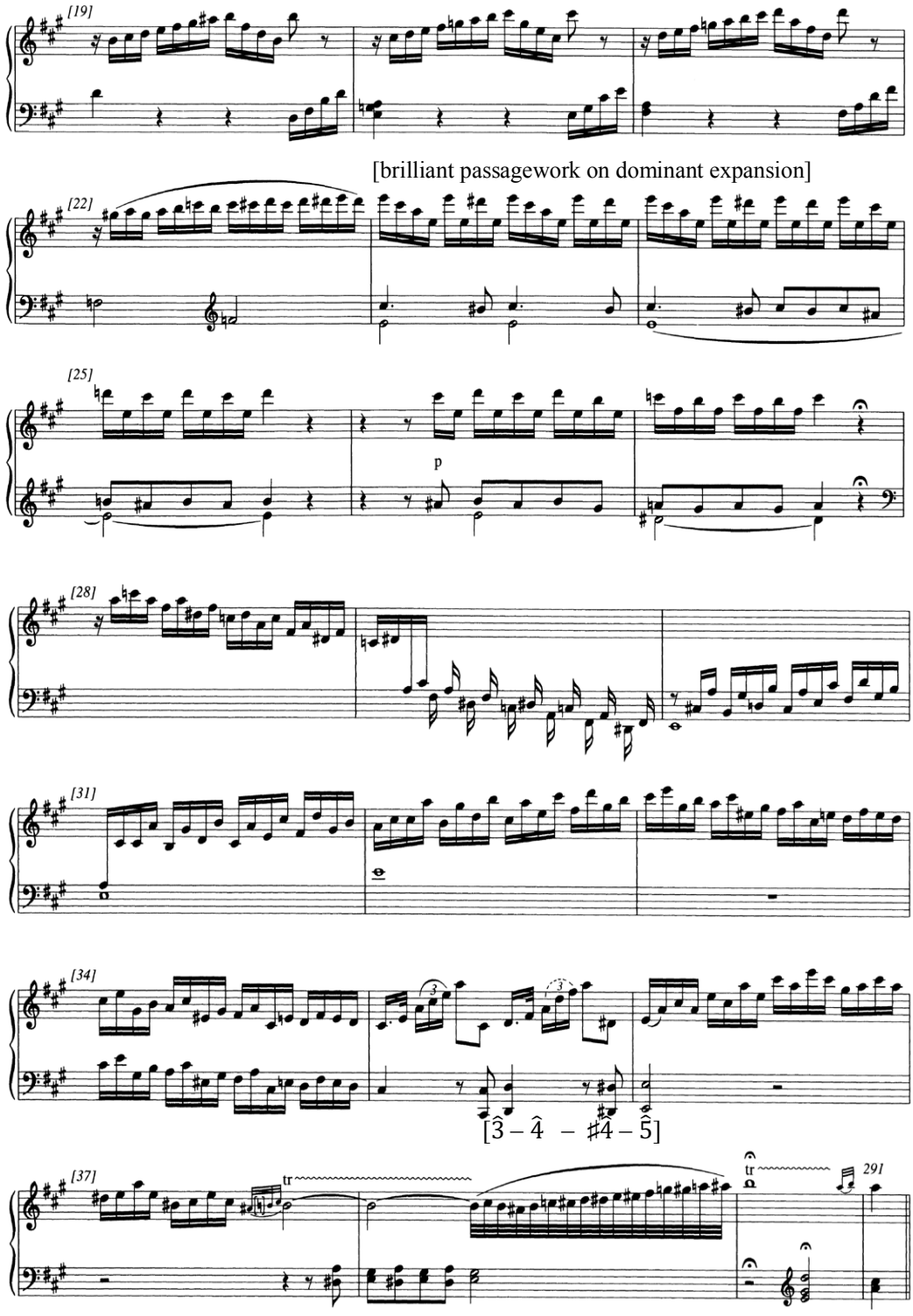
While Cadenza A in K. 414 begins with motivic reference in an orchestral tutti texture with a three-section plan, Cadenza B, with its descending bassline, presents a fantasia-like

texture. A short caesura-link in bar 10 and 11 then connects to the middle section (see Ex. 136). The middle section contains an extended developmental passage, which includes the first theme (from bar 12), a sequential transition (from bar 17 with motivic reference), and several brilliant passages on the dominant expansion (from bar 23 and after the fermata pause at bar 28). This long, thoughtfully constructed cadenza requires thinking ahead, planning, and practice.

Example 136: Mozart, Piano Concerto in A Major, K. 414, I., Cadenza B, bars 1–18



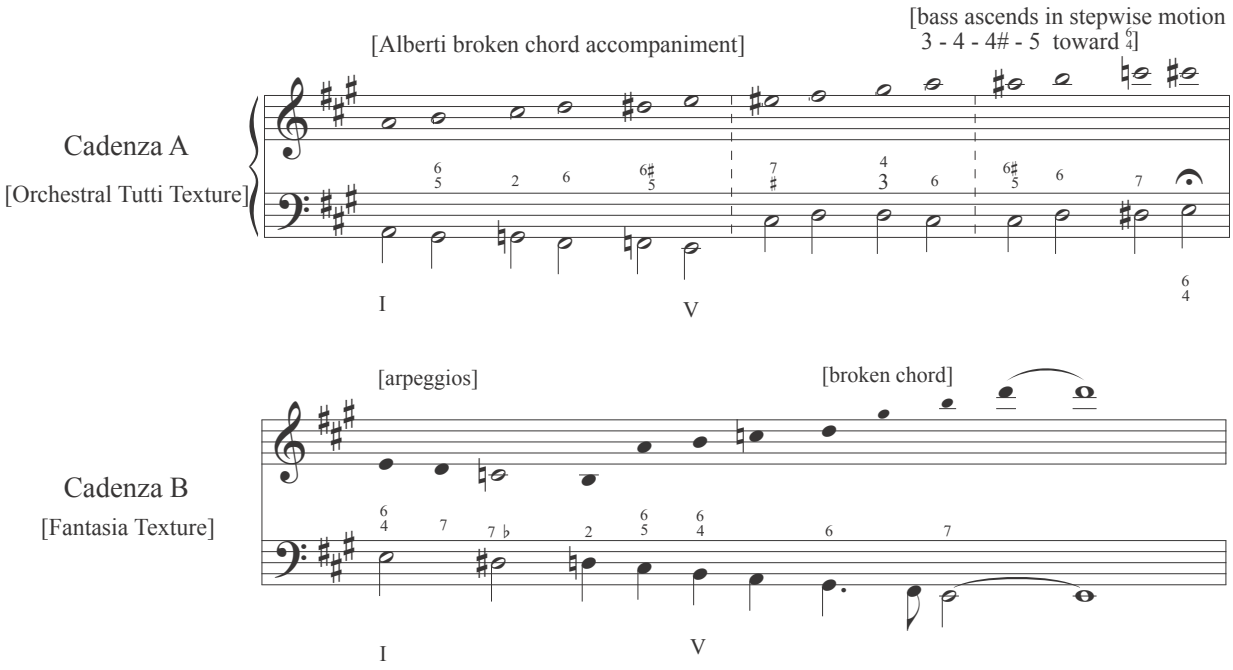
Example 136: (Cadenza B in K. 414 Continued…)



Chromatic Descending Bassline: Gravitational Pull Toward the Dominant and Fantasia Gesture

The use of a descending bassline presents different stylistic elements in the cadenzas of K. 414, including grand orchestral tutti, metrical martial rhythm, and fantasia gesture. As shown in Example 137, in addition to an orchestral texture, in both cadenzas when approaching the Cad $\frac{6}{4}$ (for instance, at bar 34 in Cadenza B where both hands play in octave), contains stylistic elements including fantasia style.

Example 137: Mozart, Concerto K. 414 in A Major, I., Cadenzas Opening Section, Bass Analysis



As described by music theorist John Irving, the dominant is a "gravitational pull" that plays an important role on a dramatic function in coordinating tonal tension and release;[4] the bass in both cadenzas descends in chromatic motion, which intensifies the direction driving to the dominant in bar 8. In Cadenza A, a brief tension releases after the bass arrives on the

[4] John Irving, *Mozart's Piano Concertos*, (Burlington, VT: Ashgate, 2003), 160.

dominant, then it ascends again in 3 –4 –♯4 –5 motion approaching to Cad $\frac{6}{4}$ using broken chord in metrical rhythm, whereas, in Cadenza B, the bass descends chromatically all the way to the V_7 using arpeggios in spontaneous upward or downward motion. As Irving points out, "The harmonic progressions elaborating rapid passagework are quite typical of Mozart's notated cadenzas, though in the majority of cases they appear within a tightly controlled succession of motivic references."[5] The tension does not release until the rest right before the middle section, which provides a restless virtuosity.

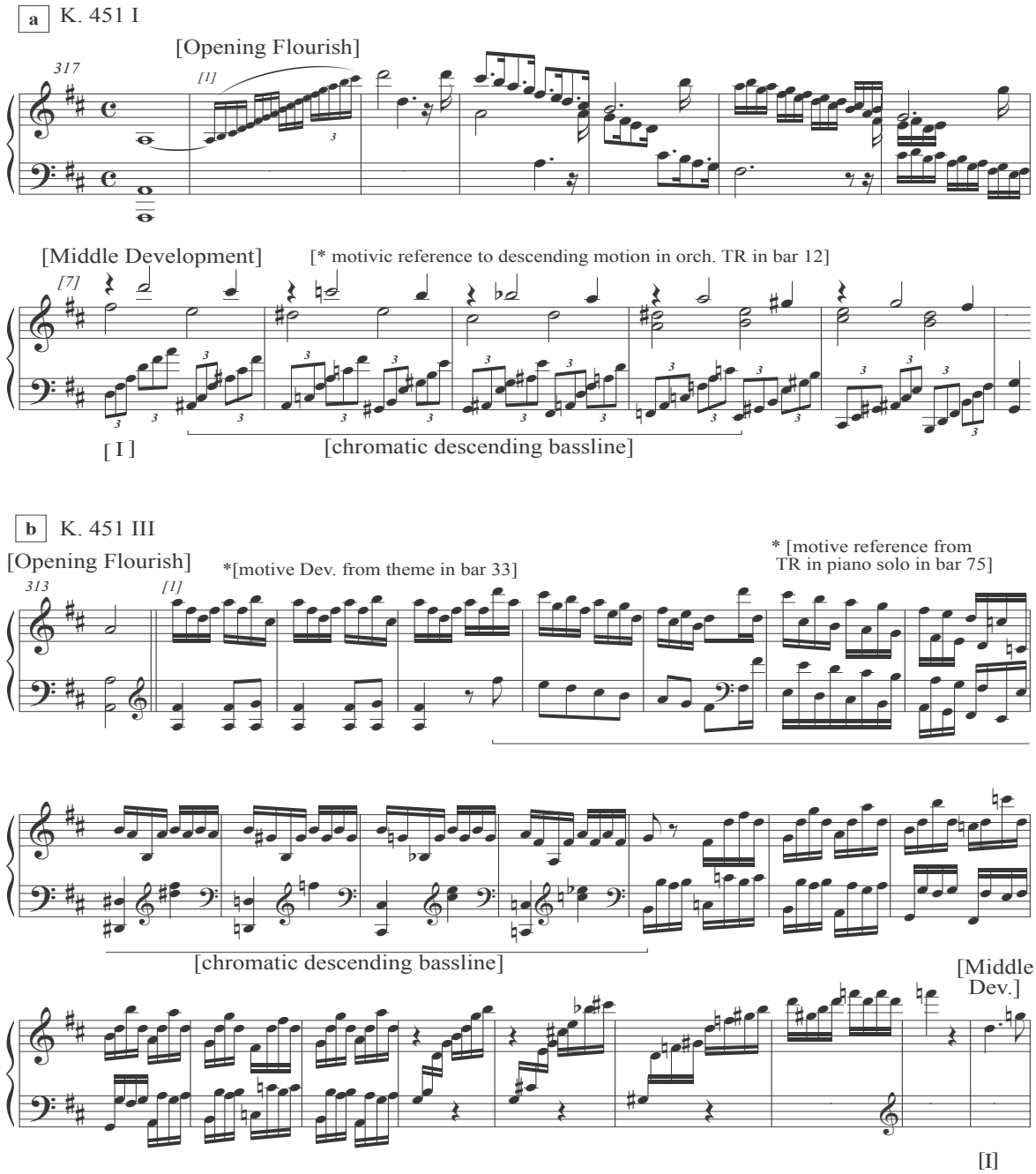
The bassline moves chromatically in cadenzas while integrating stylistic elements that intensify the dramatic tension. Some examples of this occur when Mozart uses broken chords with martial character in the middle section of K. 451's first movement and the opening section of K. 451's third movement whereas, in the cadenza's middle section of K. 488, he incorporates free fantasia elements by using spontaneous arpeggios.

Concerto K. 451 in D Major was composed in early 1784. Mozart gave no fewer than 22 public concerts between February and April in Vienna of this year, and in March, he performed the newly composed K. 451. His concerti from this period show a brilliant and virtuoso celebration for which he includes trumpets and percussion in the orchestration. The grand opening of the first movement of K. 451 in D major features march-like dotted rhythms. Mozart employs similar dotted rhythms and syncopation in the third movement Rondo. Each section in both cadenzas can be identified easily as a three-section schema based on harmonic structure. Example 138 shows Mozart's use of a chromatic descending bassline to elaborate and extend each section, which corresponds to the "virtuosic-heroic"[6] effect throughout the concerto in a

[5] Ibid., 160.
[6] As Irving explains, brilliant figurations in Mozart's concerti still constitute the 'virtuosic-heroic' repertoire. See: John Irving, *Mozart's Piano Concertos*, (Burlington, VT: Ashgate, 2003), 132.

whole.[7]

Example 138: Mozart, Cadenzas of Concerto K. 451 in D Major, Chromatic Descending Bassline



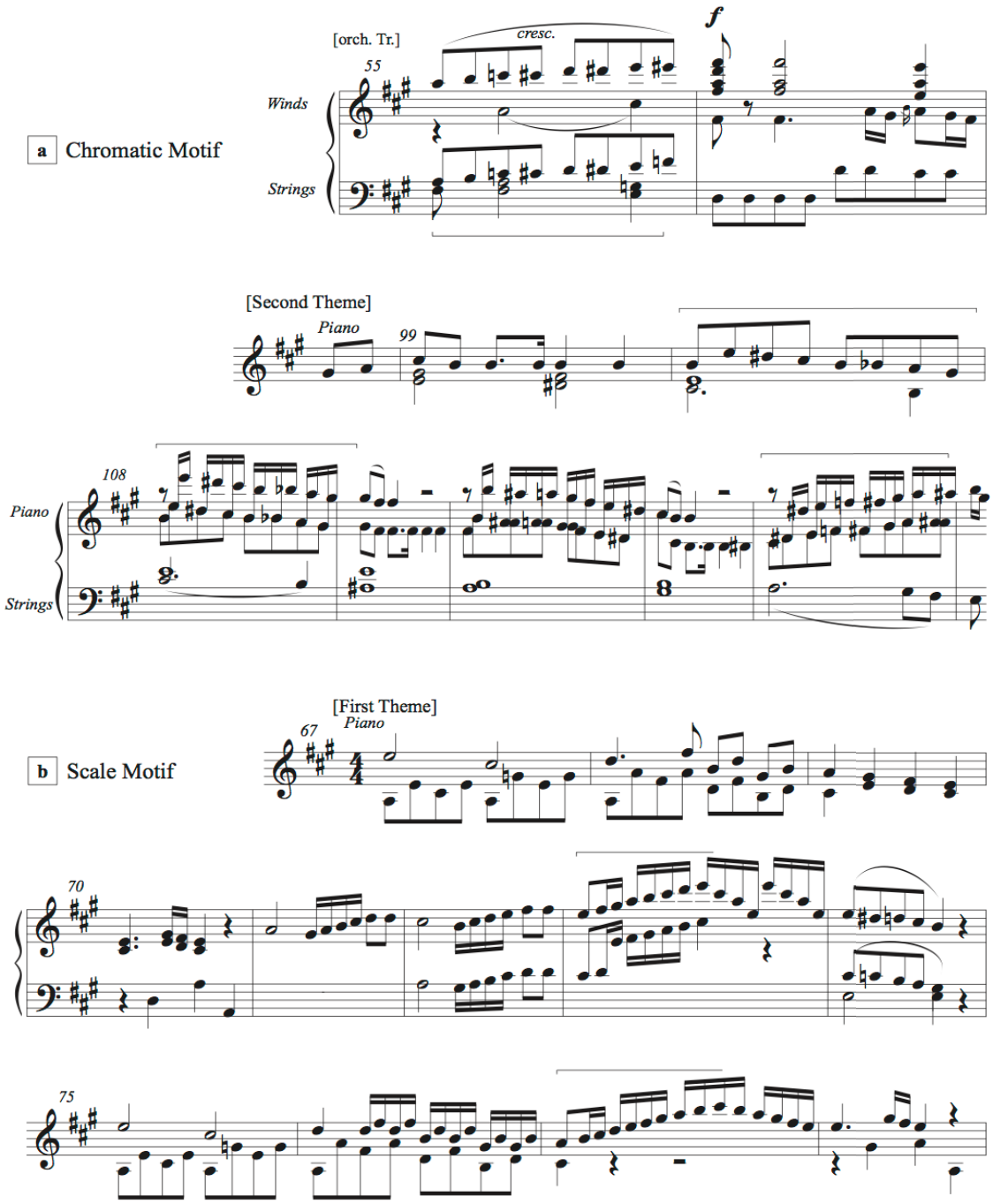
[7] Music theorist Simon Keefe points out that the finales of Concerti K. 450, K. 451 and K. 595 "invoke confrontational interaction" between first and third movement. The third movement in K. 451, in addition, is more pronounced and intense with contrasting materials and concise characters. See: Simon P. Keefe, *Mozart's Piano Concertos: Dramatic Dialogue In the Age of Enlightenment* (Rochester, NY: Boydell Press, 2001), 152.

The cadenza in the first movement of Piano Concerto in A Major, K. 488 is built upon a chromatic descending bassline that begins on the dominant note on E and returns to tonic on A. Compared to cadenzas in Concerto K. 451, where Mozart uses broken chords for bright and martial character, the cadenza of K. 488 seamlessly integrates stylistic gestures with motivic reference (instead of thematic development) from its Allegro movement. John Irving states that the cadenza of K. 488 is "deriving none of its material from the foregoing Allegro" and "in K.488 … [it] lack[s] of any obvious relationship to the main material of the movement."[8] Example 139 shows these motivic elements from the first movement.

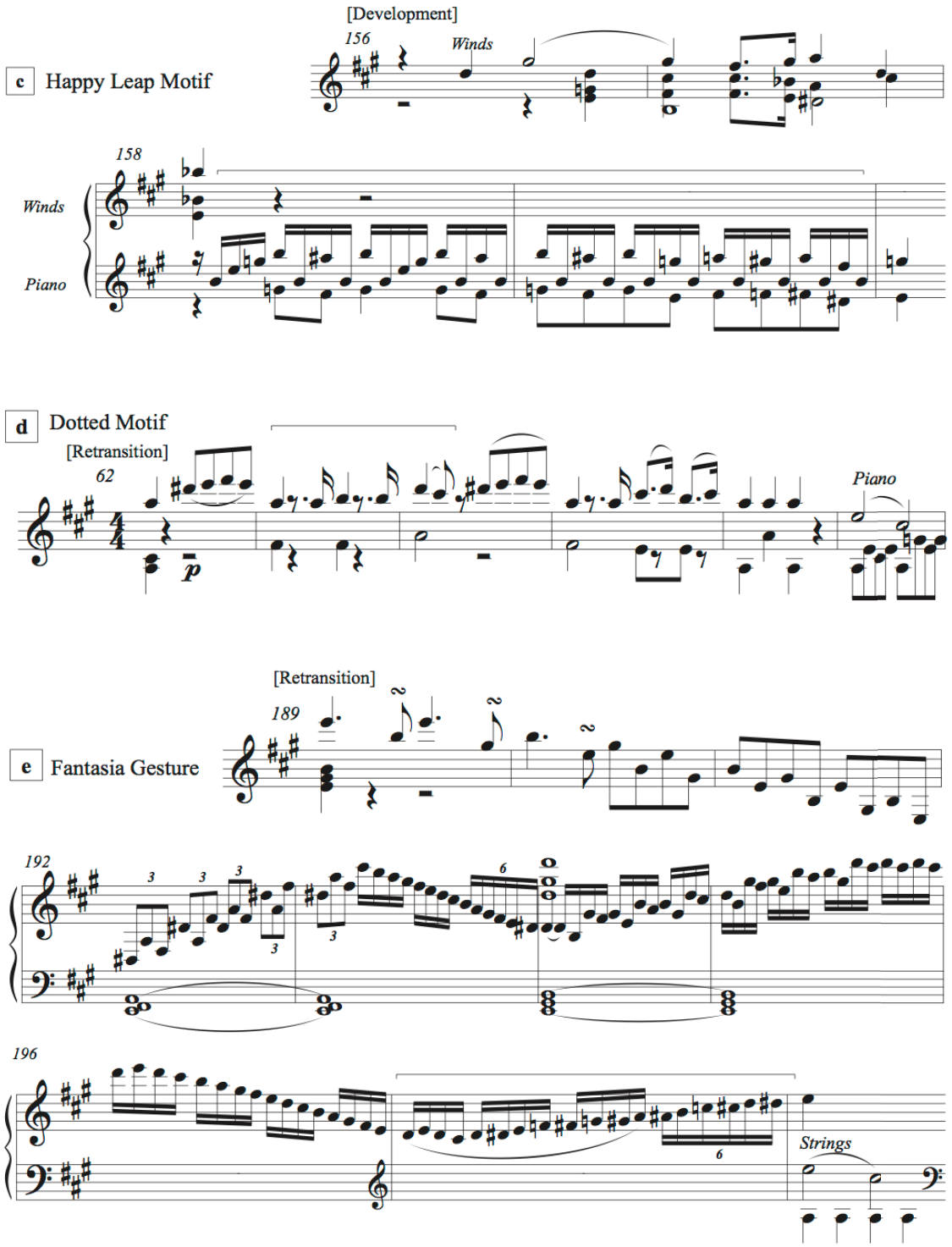
The chromatic motif, which is basis of the cadenza's structure, is used throughout the movement as shown in Example 14a, the transition in bar 55 and the second theme in bar 100. In bar 108, Mozart elaborates his second theme with a cheerful octave and the use of contrary motion on a descending sequence. In the cadenza's opening, instead of using his signature scale decorated by a turn, Mozart utilizes the flourish scale, which recalls the first theme in the piano solo part (see Ex. 139b). A cheerful and virtuosic broken chord with wide leaps follows; this motif refers back to the piano part during the development section in the first movement. The cadenza's cantabile middle section develops a motif from the orchestral transition in minor mode and is followed by a passage of spontaneous arpeggios as in a free fantasia. The closing section starts with orchestral tutti texture in octaves on the six-four chord; moreover, it expands with contrasting effects: a bright, broken chord in the high register with a dominant seventh chord and a long chromatic scale in a roaming, dark, low register. A cadential trill is introduced in the last three bars which refers to the retransition in bar 197.

[8] John Irving, *Mozart's Piano Concertos*, 106. Robert Levin also states that the cadenza of K. 488 "does not depend upon the systematic quotation of themes." See: Robert Levin, "Instrumental Ornamentation, Improvisation and Cadenzas". In *Performance Practice: Music After 1600*, edited by Howard Mayer Brown and Stanley Sadie, (New York: W. W. Norton, 1990), 283.

Example 139: Mozart, Concerto K. 488 in A Major, First Movement, Motivic Reference
(a) Chromatic Motif: Transition, bar 55; Second Theme in Piano Solo, bars 100 and 108
(b) Scale Motif: First Theme in Piano Solo, bar 73, 77 and 79—correspond to cadenza opening
(c) Cheerful Leap Motif: Development in Piano, bar 158—correspond to cadenza, bar 2
(d) Dotted Motif: Orchestra Retransition, bar 63—correspond to cadenza middle section, bar 11
(e) Fantasia: Retransition, bars 189–198— correspond to second half of cadenza



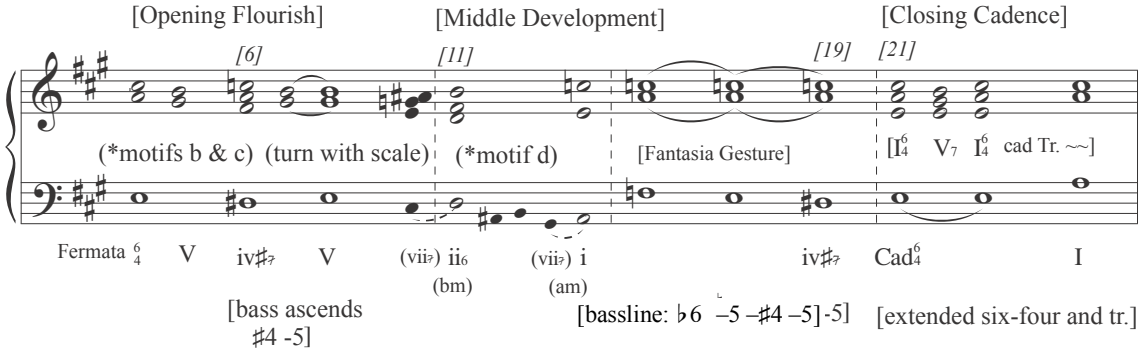
Example 139: (Continued…)



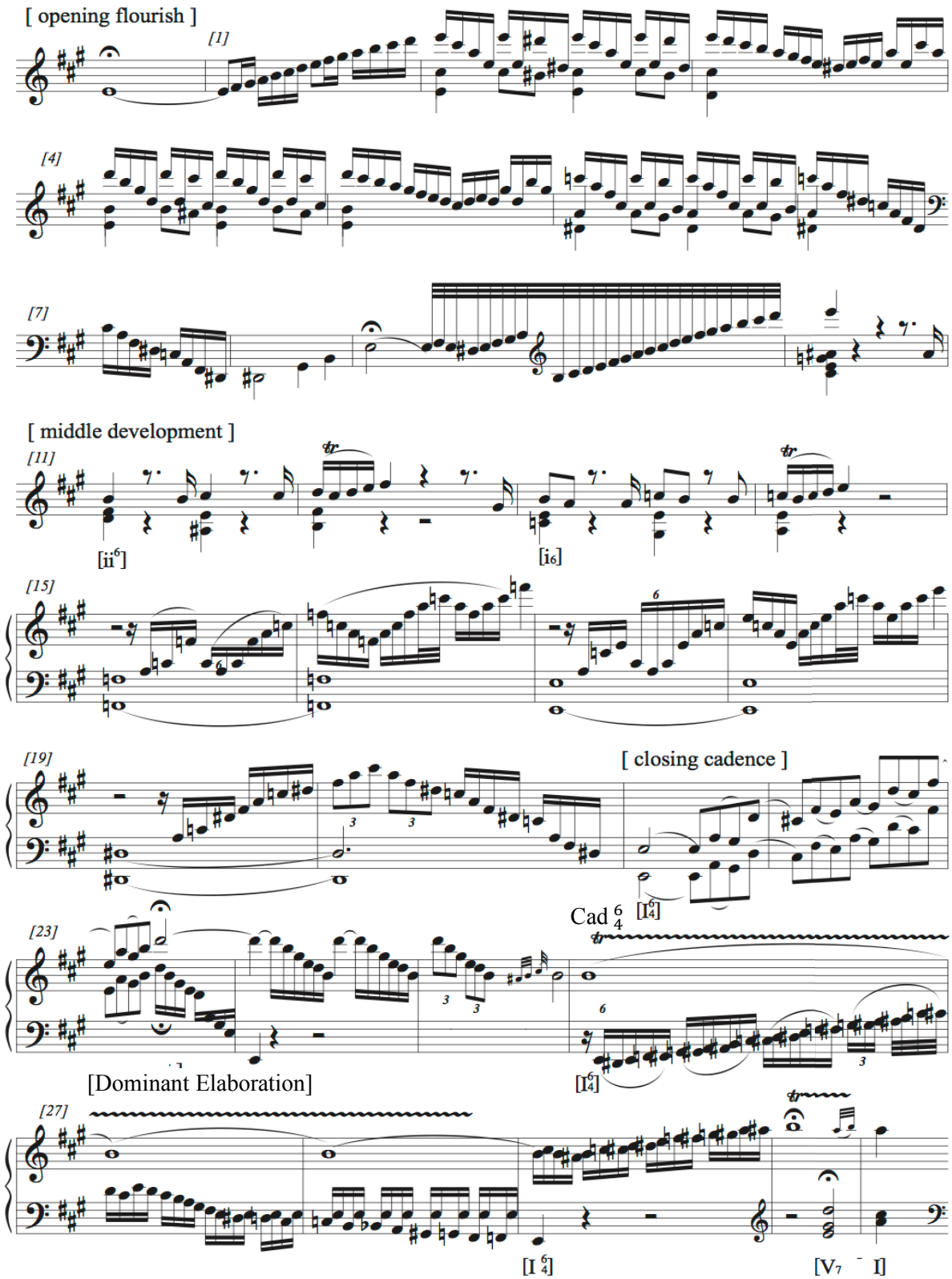
Example 140 illustrates the bassline motion in a three-section schema, which opens on dominant extension on E–D♯– E and is followed by a diminished seventh chord that resolves to the middle section. The middle section, instead of starting in A major, starts in a minor mode. It moves from B minor and uses a diminished seventh chord that resolves to A minor and features cantabile and recitative-like melodies. For approaching to the closing cadence on six-four chord, the bassline moves in a ♭6 –5 –♯4 –5 motion, from F♮ – E – D♯ – E.

As mentioned in Part II, when introducing the fantasia style in Mozart's music, the use of a diminished seventh provides harmony with an expressive and dramatic effect. Such circumstances are shown in this A-major cadenza; the first occasion is when the leading tone resolves to dominant, the sharped subdominant diminished seventh marked as ♯4 –5, on D-sharp resolves to E. In bar 6, the bassline moves in the direction of ♯4 –5, which provides a gentle approach to the dominant; while in bar 19, the bassline shows a strong gravitation toward Cad $\frac{6}{4}$ when moving in ♯4 –5 motion to indicate the cadenza's closing section. Another treatment is the leading tone back to tonic, using a diminished seventh resolving to the tonic. This is seen in bar 10, where the middle section starts on minor mode instead of major. The result of the second section starting in B minor instead of A major is astonishing.

Example 140: Mozart, Concerto in A Major, K. 488 Cadenza, Motifs and Bassline Analysis



Example 141: Mozart, Piano Concerto in A Major, K. 488, Cadenza

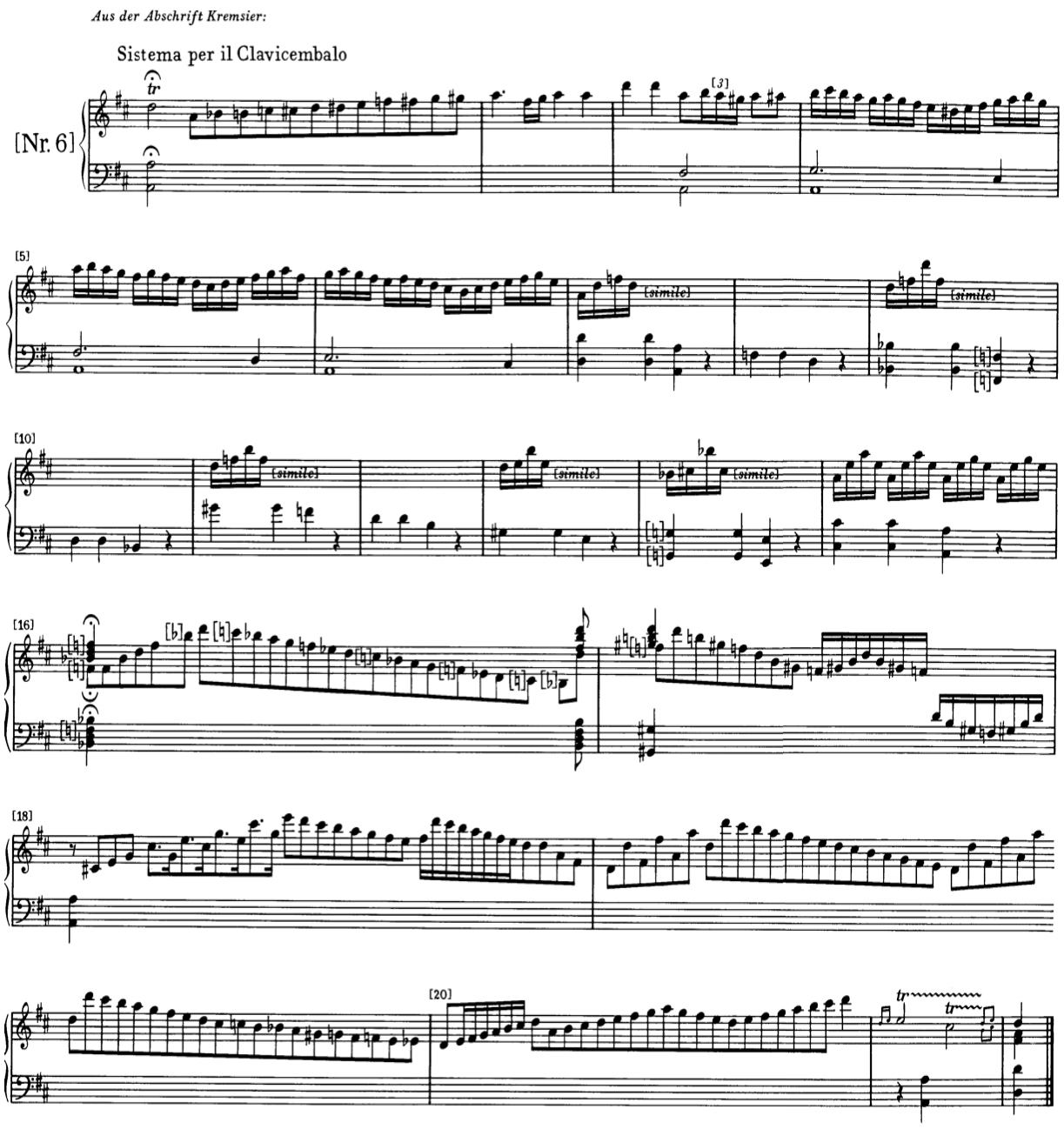


Robert Levin anomaly points out a cadenza such as the one in K. 488, is "virtually a free fantasia [that] withheld harmonic stability, rather than thematic references."[9] Instead of in a fantasia style, which usually utilizes stepwise and descending bassline like in the K. 414 discussed in Example 137, Example 140 shows that the cadenza of K. 488 is based on eighteenth-century tonal structure. Mozart draws all elements together—the arch-like figuration that resembles the spontaneous arpeggios in the fantasia and the use of minor mode, which creates harmonic instability—and creates an astonished cadenza.[10]

In fact, Cadenza K. 488 presents a similarity to Haydn's cadenza in the fashion of a free fantasia by using arpeggios in spontaneous upward and downward motions on strong harmonic direction without a major thematic development. There are not as many written-out cadenzas by Haydn as there are by Mozart. Examples are seen in Haydn's two piano concerti both published in 1784: G Major, Hob. VIII: 4 and D Major Hob. XVIII:11. In the cadenza from his G-major concerto, the use of motif lies within gesture instead of melodic reference, whereas, in the D-major concerto, Haydn utilizes the opening gesture in bar 2 throughout the concerto. The charm of Haydn's cadenzas lies in his integration of figuration and harmonic effect. Example 142 shows his cadenza from Concerto in D Major, Hob. XVIII:11.[11] Examples 141 and 142 provide a glimpse of the differing use of figuration in Mozart's and Haydn's cadenzas.

[9] Robert Levin, "Instrumental Ornamentation, Improvisation and Cadenzas". In *Performance Practice: Music After 1600*, edited by Howard Mayer Brown and Stanley Sadie, (New York: W. W. Norton, 1990), 283.
[10] For a discussion of Mozart's use of figurations and style, see Practice IV, pages 256–64.
[11] Joseph Haydn, *Konzerte Für Klavier (cembalo) und Orchester.* edited by Horst Walter and Bettina Wackernagel. (München: G. Henle, 1983), Anhang: Cadenzas of the age of Haydn, 162–3.

Example 142: Haydn, Concerto in D Major, Hob. XVIII:11, Cadenzas



The Idea of Motivic Reference and Thematic Development

Deciding which motif is distinctive enough to cause desired reactions and whether to quote motifs systematically, is a personal choice for each composer and performer. In an interesting collection, *The Concept of Love in 17th and 18th Century Philosophy*, Heiner F. Klemme, professor of philosophy in Bergische Universität Wuppertal in Germany, discusses "moral motives and reasons."[12] Klemme states that "human beings are motivated exclusively by their affections, desires and passions. They not only set us into motion, but they also give us reasons to act…the eighteenth-century debate over the nature of moral reasons and motives was about the primacy of feeling or reason."[13] During that period, the choices within the complex structure of human desires and motives often related to private life via public life, which Klemme explains as the "natural self-love" via the "moral benevolence."[14] This is also reflected in music, as one can compare types of chamber music and concerto settings; smaller, more intimate settings were more appropriate for private gatherings such as salons whereas larger ensembles were more suitable for public performances in larger venues. Likewise, types of cadenzas could be adjusted according to function, such as private, pedagogical instruction or a more virtuosic and public performance. Quoting from philosopher Bernard Williams, who explained the subjective motivation and desire in a broader way within internal or external reasons, Klemme states that "The subjective motivational set can contain such things as dispositions of evaluation, patterns of emotional reaction, personal loyalties, and various projects, as they may abstractly be called, embodying commitments of the agent."[15] Each

[12] Heiner F. Klemme, "Motivational Internalism: A Kantian Perspective on Moral Motives and Reasons," in *The Concept of Love In 17th and 18th Century Philosophy,* edit. Gábor Boros, Herman de Dijn, and Martin Moors (Leuven, Belgium: Leuven University Press, 2007), 230.
[13] Klemme also explains "Although this debate is not finished even today, it has changed in appearance considerably", Ibid., 243.
[14] Ibid., 230.
[15] See Bernard Williams, "Internal and External Reasons," in *Moral Luck, Philosophical Papers 1973–1980*, (New

composer's desire to incorporate motivic reference and development shows a diversity of style in the eighteenth century as seen between Haydn and Mozart. Haydn's figurations in cadenzas tend to flow with harmonic rhythm, whereas Mozart tends to be based on melodic lines. The reminiscent passage in a concerto movement is unique to each improviser since the desire, the thought, and the ability to elaborate varies from person to person.

The aforementioned cadenzas in K. 246 in C Major, K. 382 and K. 451 in D Major, and K. 414 and K. 488 in A Major show that models and modes within each of the three-section can be varied and improvised, as the composer or performer wishes: each section can be extended and elaborated by using sequential progression or by exploiting the bassline. Thematic reference is not restrictive to a certain location or theme. When thematic development denotes a prominent melody, a longer cadenza can be elaborated and integrated with various stylistic elements. Moreover, figurations of a distinct gesture and a ?? of phrase can be cohesively combined in each section of the cadenza, as well as between movements.

Thematic Development: Concerto in C Major, K. 415, First Movement

Motivic reference happens in the opening section while thematic material develops in the middle section. As music theorist William Drakin explains, to employ this technique "subdivide the second half of the cadenza to make room for an extra recall of a memorable theme and to delay the reminiscence theme until the arrival of the tonic initiating the second half of the cadenza."[16] An example of elaborating the thematic development in a three-section schema is shown in the first movement of Concerto K. 415 in C Major. The concerto starts with a dotted

York: Cambridge, 1981), 105.
[16]William Drabkin, "An Interpretation of Music Dreams: Towards a Theory of the Mozart Piano Concerto Cadenza". In *Wolfgang Amadè Mozart: Essays on His Life and His Music*, edited by Stanley Sadie, 161-77. Oxford: Oxford University Press, 1996), 174.

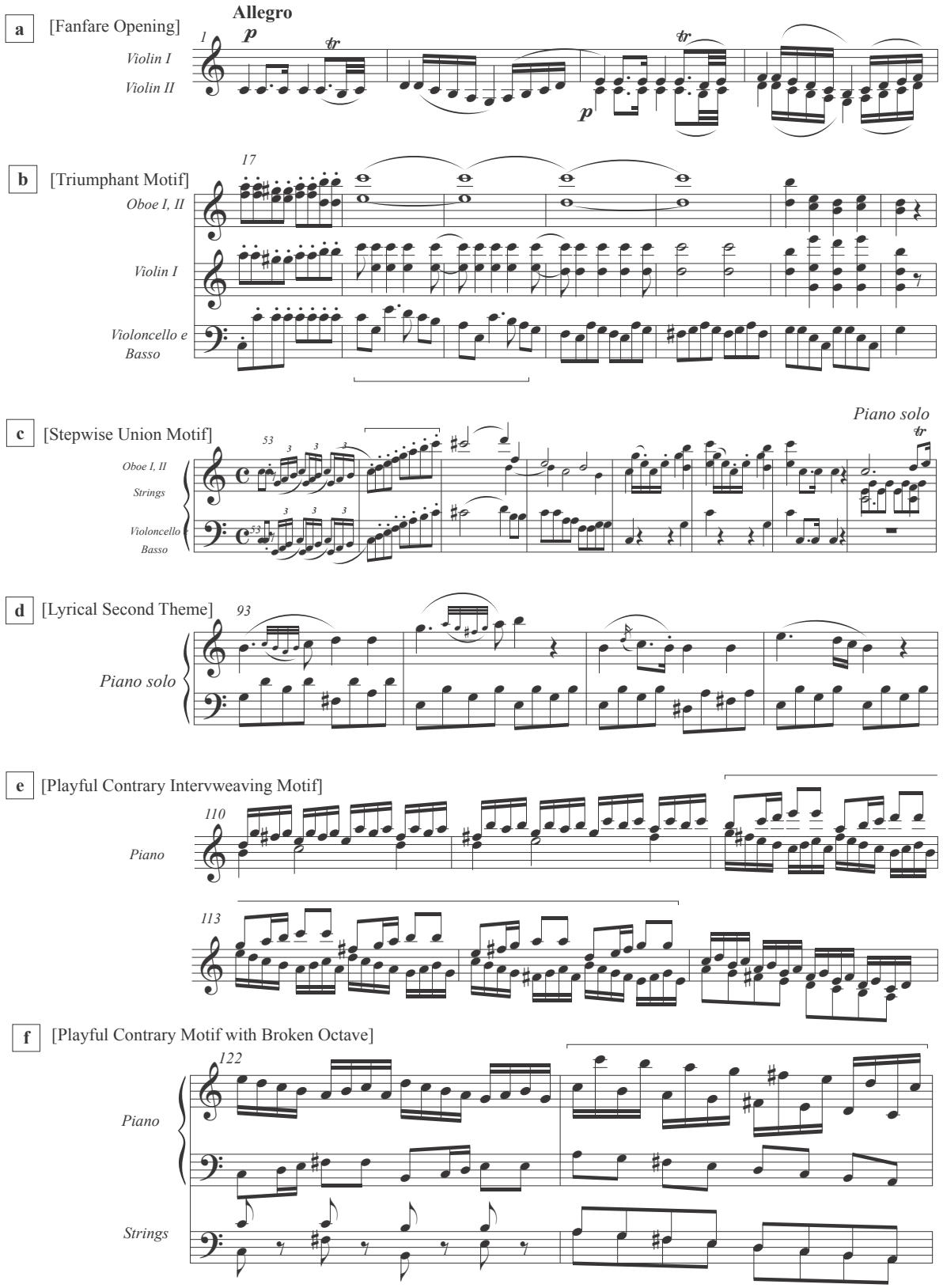
martial motif with brilliant sixteenth notes initiated in a *piano* dynamic by the violins, as shown in Example 143a. The strings answer in bars 5–9, then the orchestra bursts into an exuberant exclamation.[17] In bar 18, the fanfare character proceeds with its underlying syncopated rhythm, which supports an increase in tension with a triumphant motif echoed by the continuo instruments; this passage arrives at the first tutti cadence in bar 24 (see Ex. 143b).

A brief, theatrical effect appears with a ascending unison intensified in bar 54 (see Ex. 143c). This stepwise, rocket launch of a motif reappears in each final section, then descends in a stepwise motion or in broken octaves. After the first C-major song-like theme, which retains the dotted fanfare character in the piano solo, Mozart beautifully vacillates between modes in the second theme (see Ex. 143d). The modal shifts, first G major then E minor, make this elegant theme indecisive.

After the second theme, the piano solo features a playful transition (see Ex. 143e); this thematic material refers to the retransition in the first ritornello before the final cadence in bar 32. Here in the piano part, a contrary interweaving motif in contrary motion appears in bar 112 and descends two octaves in a sequence toward the dominant. The strings then join with a voice exchange and the playful contrary motif ends with broken octaves (Ex. 143f).

Example 143: Mozart, Concerto K. 415, I. Allegro, Motivic Reference
(a) Fanfare Opening, bars 1–4
(b) Triumphant Motif, Transition in Orchestra Ritornello before the Second Theme, bars 17–24
(c) Stepwise Unison Motif, Transition bars 53–61
(d) Lyrical Second Theme in Piano Solo, bars 93–96
(e) Playful Contrary Interweaving Motif, bars 110–115
(f) Playful Contrary Motif with Broken Octaves, bar 123

[17] Hepokoski and Darcy in their *Elements of Sonata* points out that "especially those [concertos] from 1784–5, Mozart favored the idea of a quiet opening in the style of a common-time march, normally with a dotted-eight/sixteenth figure on the second beat of the first bar", 482.

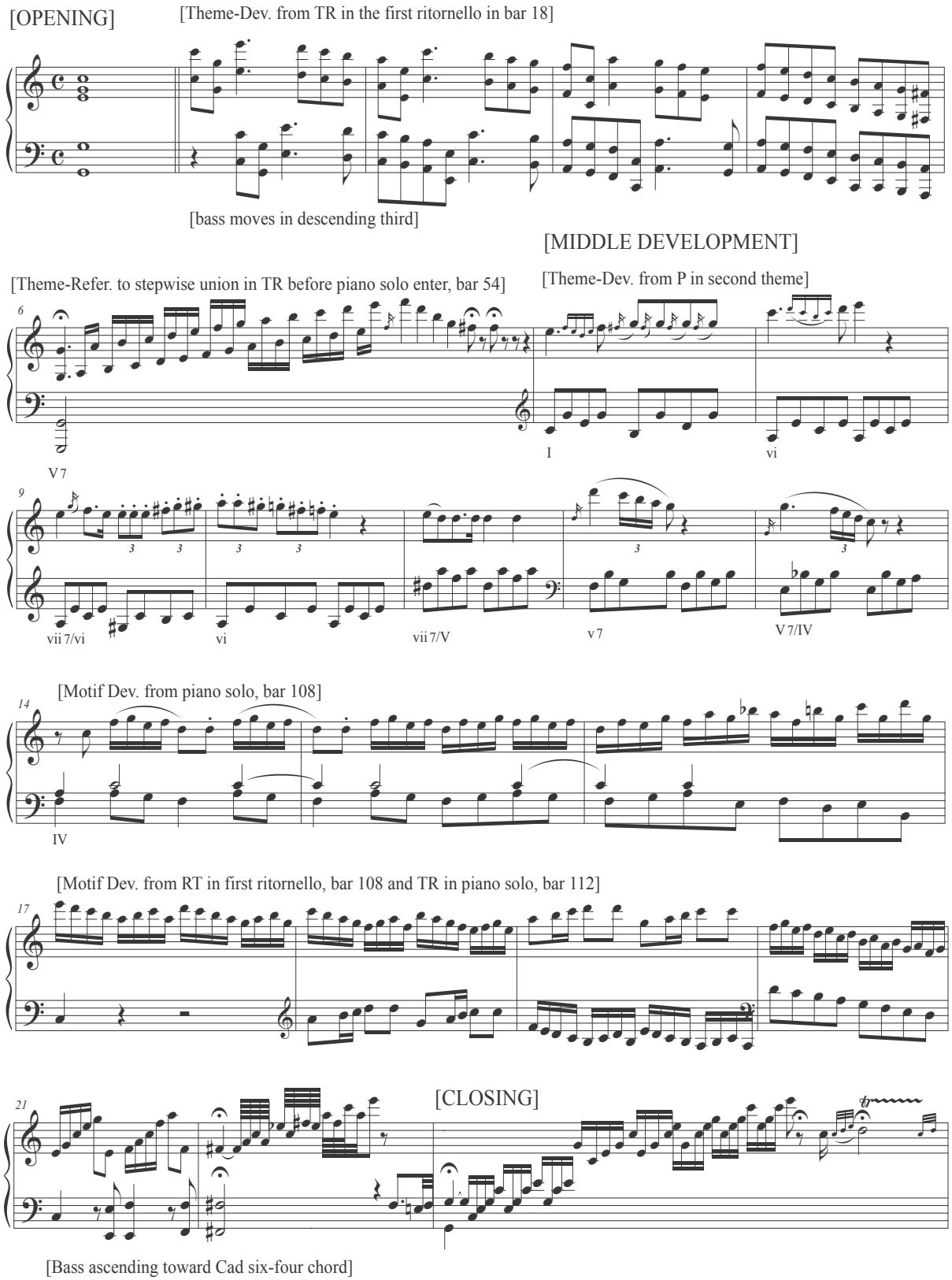

a
[Fanfare Opening]
Allegro
p
1
tr
Violin I
Violin II
p
tr
b
[Triumphant Motif]
17
Oboe I, II
Violin I
Violoncello e
Basso
c
[Stepwise Union Motif]
Piano solo
tr
53
3
Oboe I, II
Strings
Violoncello
Basso
d
[Lyrical Second Theme]
93
Piano solo
e
[Playful Contrary Intervweaving Motif]
110
Piano
113
f
[Playful Contrary Motif with Broken Octave]
122
Piano
Strings

In a letter, Mozart writes that the three concerti, K. 413, K. 414, and K. 415 contain "passages here and there from which the connoisseurs alone can derive satisfaction, but these passages are written in such a way that the less learned cannot fail to be pleased, though without knowing why."[18] While the fugal interaction with its sense of harmonic modulation in the middle development would have captured the imagination of the "connoisseurs," the triumphant fanfare and playful motifs mentioned above are easily captured and enjoyed by the "less learned." In fact, these straightforward, playful tunes are recalled in his written-out cadenza (see Ex. 143). The first opening section starts with the same triumphant motif in the continuo, shown in Example 18b, followed by the stepwise unison motif mentioned in Example 18c. The Adagio releases the excitement from the opening fanfare and transitions into the middle development back in the tonic.

Another technique Mozart employs for thematic development is the applied chord sequence. Here in K. 415, the middle thematic development section features these remarkable moments, including the beautiful indecisive motif from the second theme on the applied dominants of vi, V, and IV. Mozart also reintroduces the playful contrary motif from the second theme (see Ex. 141d) and transition. These bright and fast sixteenth-note transitional passages provide listeners with a totally contrasting effect to that of the lyrical second theme, and this combination creates excitement while moving toward the end. Since the weight and emphasis for this cadenza is on the thematic development, after the bass motion moves from 4 – ♯4 –5 and arrives on the six-four chord, the closing section finishes with a simple C-major broken chord and straightforward cadential trills.

[18] Wolfgang Amadeus Mozart, Emily Anderson, and Ludwig Schiedermair, *The Letters of Mozart & His Family*, vol. III, ed. C. B. Oldman (London: MacMillan and Co., 1938), 1242.

Example 144: Mozart, Concerto in C Major, K. 415, I. Allegro, Cadenza



In addition allowing time to dwell on one of the secondary themes from the concerto in the middle section of the cadenza, Mozart also often references the transitions.[19] Examples of these are found in the first ritornello when the orchestra is approaching to the half cadence, during the retransition before the final cadence (as those connective caesuras in piano sonatas mentioned in Chapter One), or in the transition to the second ritornello in the piano solo. Example 145 illustrates the locations from which motifs were chosen for the cadenzas in the first movement of K. 415.

Example 145: Motivic Selection of Cadenza in Piano Concerto K. 415, First Movement

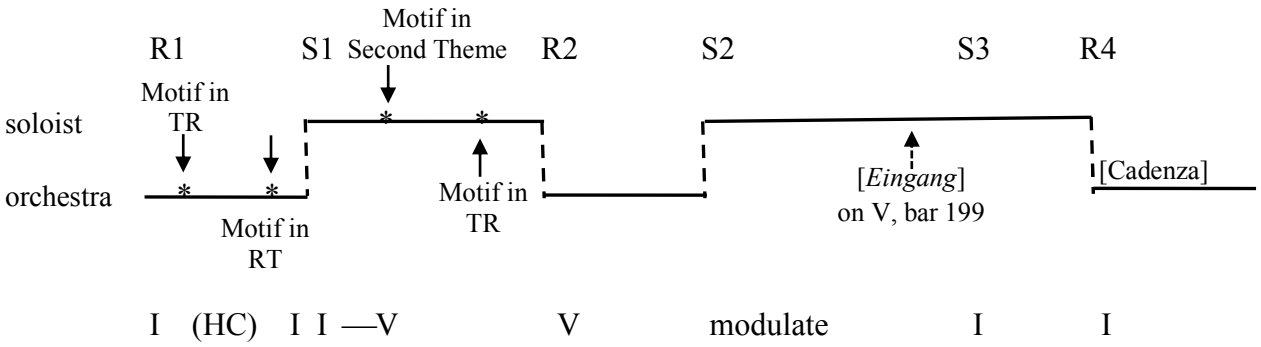


Table 16 shows a collective motivic reference in the cadenza of the first movement. This example illustrates how the motif in the middle section of the cadenza can be developed from a concerto's secondary theme and used to create a longer cadenza. Other examples include cadenzas in the first movements of piano concerts K. 175, K. 415, K. 453, K. 450, and cadenza B

[19] See example 145: motif in the middle section of the cadenza that is developed from secondary theme from the concerto usually create a longer cadenza, examples include first movement in concerti K. 175, K. 415, K. 453, K. 450, and cadenza B in K. 271; Motif that is developed from fragment of transition or retransition usually shows restless figurations throughout, examples include four cadenzas in K. 414's first and third movements as well as in the first movements of K. 413, K. 449, and cadenza A in K. 271. Motif that is developed from theme at concerto opening is the third movement of K. 450.

in K. 271. Mozart also incorporates a motif that is developed from a fragment of a transition or retransition; cadenzas using this technique usually feature restless figurations throughout. Examples can be found in the four cadenzas in K. 414's first and third movements as well as in the first movements of K. 413, K. 449, and in cadenza A in K. 271. It is also possible to develop a motif from the opening theme of a concerto movement, as in the third movement of K. 450.

The cadenza in the first movement of K. 451 demonstrates reference to brief passages in the transition and retransition that serve as personal reminiscence. The opening section of the cadenza refers to the transitions, from orchestral tutti in the first ritornello (in bar 45) and from the piano solo (in bar 10). The middle development section refers to motifs from the development (in bar 119), the second theme (in bar 26), and short fragments from the retransition (in bar 260).

Cadenzas from K. 453 and K. 595 frequently recall their Allegro movements. Levin meticulously analyzes their motivic reference and development.[20] He points out that the "melodic rhetoric of the cadenza appears to be exceedingly free; in fact, motivic segments from the movement are often woven together with considerable adroitness." Such an example is found in the opening of the cadenza from K. 453 (in Ex. 147). The opening refers to the first theme in piano, and right after this motif briefly appears, an elaboration of this motif follows in two bars. The figuration is continuous in a minor mode for only one bar, using the Neapolitan chord on the flat-second. The brief tonal instability also occurs in Cadenza C of Concerto K. 246.[21] It opens with a melodic theme from bar 153 in the Allegro. After confirming and elaborating the melodic motif of each for two measures, a diminished seventh appears.

[20] See: Robert Levin, "Instrumental Ornamentation, Improvisation and Cadenzas". In *Performance Practice: Music After 1600*, edited by Howard Mayer Brown and Stanley Sadie, (New York: W. W. Norton, 1990), 280–83.
[21] For a discussion of Cadenzas A and B, see pages 269–74.

Nevertheless, the triumphant grand opening in the third movement of Concerto in B-flat Major, K. 450 reappears boldly. Mozart features this opening already in the *Eingang* in bar 112, and the cadenza creates coherence, opening with the triumphant grand theme again in bar 284. The beginning section utilizes motifs first from the opening theme, followed by sequential motifs from the development in bar 141 and the transitional fragment in bar 160. The middle development section combines all of these materials and weaves them into a brilliant spotlight for the soloist, which also corresponds to a martial dotted rhythm in the closing section.

Table 16: Cadenzas in First Movement Concerti and their Motivic Selection[22]

		Opening (Fermata $\frac{6}{4}$ –V)	Middle (I –)	Antepenultimate Bassline[23]	Closing (Cad $\frac{6}{4}$– V_7 – I)
C Major	K. 415 I (1782–3)	6 bars	16 bars (7+3+4)	$\hat{3} - \hat{4} - \sharp\hat{4} - \hat{5}$	1 bars
		Martial motif from TR in bar 18 + figurations on V	Motifs from P_2 in bar 93 + fragments from bar 108+ counterpoint motif from bar 112		
G Major	K. 453 I (1782–3)	17 bars	16 bars	$\hat{3} - \sharp\hat{4} - \hat{5}$	4 bars
		Opens with concerto opening motif	Motif from P_2 in bar 35. Long trilled insertion on I.		
D Major	K. 175 I	14 bars (7+2+5)	7 bars	$\hat{3} - \hat{4} - \sharp\hat{4} - \hat{5}$	3 bars
		Fermata $\frac{6}{4}$ – V/V – V	Motif from P_2 in bar 17		
A Major	K. 414 I Cadenza A	8 bars	6 bars	$(\hat{4} - \hat{5} - \hat{6}) - \sharp\hat{4} - \hat{5}$	2 bars
		V–descending and ascending bassline– $\frac{6}{4}$	Motif from TR in bar 50.		
	Cadenza B	12 bars	24 bars (4+3+3+6+8)	$\hat{3} - \hat{4} - \sharp\hat{4} - \hat{5}$	5 bars
		Fantasia Style: One octave descending bassline	Motifs from bar 1 and P_1 + TR in bar 76 + ascending sequence on fragment from bar 58 + fragment from bar 107 + V extension		Pre-trill

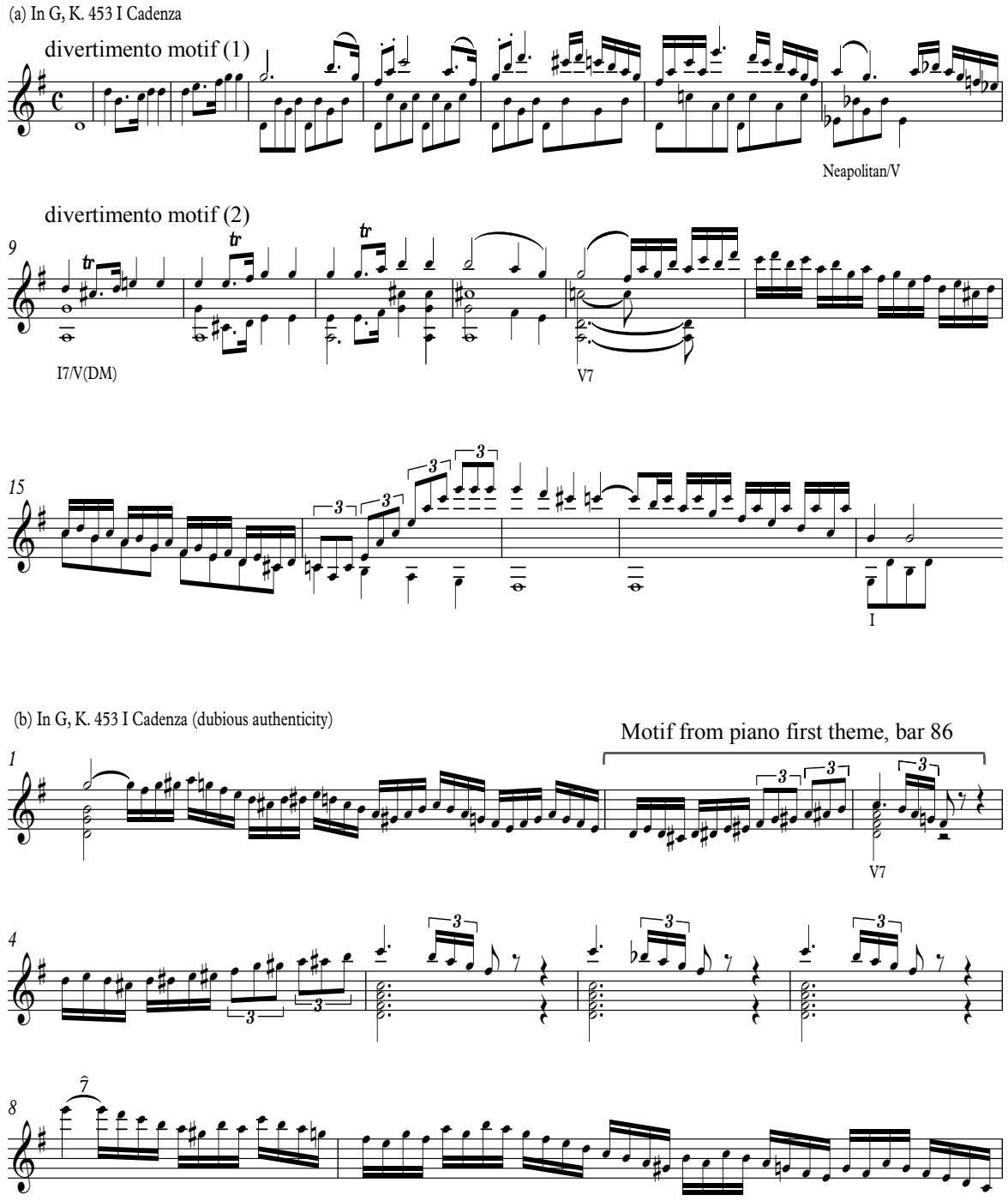
[22] The abbreviation P_1 refers to motif from the first theme and P_2 refers to the second theme in piano solo.
[23] The ”antepenultimate bassline” is a term borrowed from Danuta Mirka andrefers to bassline’sreenergizing of the cadential six-four chord for those final moments that lead to a decisive flourish. For further discussion and analysis, see page 326 of this document; Danuta Mirka “The Cadence of Mozart's Cadenzas.” *The Journal of Musicology* 22, no. 2 (2005), 316.

A Major	K. 414 III Cadenza A	8.5 bars ascending bassline	3.5 bars sequence	$\sharp\hat{4}-\hat{5}$	4 bars
	Cadenza B	8.5 bars (same as cadenza A)	3.5 bars (same as cadenza A)	$\sharp\hat{4}-\hat{5}$ V extension: $V\frac{9}{7}-V_7$	22 bars
F Major (1782)	K. 413 I Cadenza A	7 bars Standing on V	15 bars (4+2+9) chromatic motif from bar 188 in Dev. on descending 3rd harmony + motif of dotted rhythm from bar 26 + Adagio and in tempo motifs from bars, 32 and 224	$\hat{6}-\sharp\hat{4}-\hat{5}$	11 bars Brilliant motif from bar 213
B-Flat Major	K. 450 I	8 bars Motifs from orch. tutti in bar 45 and TR in bar 10	16 bars Motifs from dev. in bar 119, P_2 in bar 26, and fragment of RT in bar 260	$\hat{6}-\hat{4}-\hat{5}$	4 bars
	K. 450 III	18 bars Motifs from concerto opening, dev. in bar 141, and TR in bar 160	12 bars Development of motifs from the concerto opening	$\hat{6}-\hat{4}-\hat{5}$	6 bars Pre-Cad $\frac{6}{4}$
E-Flat Major	K. 271 I Cadenza A	13 bars (3+6+4) $\frac{6}{4}$ and descending bass –V sequence –V	6 bars Figurations with voice exchange	$\hat{3}-\hat{4}-\hat{5}$	2 bars
	Cadenza B	16 bars (3+8+5) $\frac{6}{4}$ –V sequence-vii–V pedal	15 bars Motif from P_2 in bar 34	$\flat\hat{6}-\hat{5}$ – Pre Cad $\frac{6}{4}$	3 bars Cad $\frac{6}{4}$
E-Flat Major (1784)	K. 449 I	14 bars (8+6) $\frac{6}{4}$ –V_7 motif from TR in bar 17	11 bars Motif from TR in orchestra, bars 63–69	$\sharp 4-5$	2 bars

Rarely, themes are introduced in the same order, but one example occurs in the cadenza in the first movement of K. 453 in G major (see Ex. 146). It opens with the concerto opening theme, and the development section uses the second theme in bar 35 with sequential development. After confirming the motif briefly, this musical composition builds by using improvised ornamentation that elaborates the motif, as shown in the first movement in K. 451. A

short tonal instability using a Neapolitan chord is especially effective in the second movement cadenza, in which ideas are woven together seamlessly with charm.

Example 146: Mozart, Concerto in G Major, K. 453, Cadenza Openings Section, Motivic Development



The discussion of cadenzas in Part Four shows each building block in relation to the whole and presents mapping models that one may use as a foundation, deepen, and sometimes redirect in Mozart's cadenzas. These written-out cadenzas are examples of how Mozart organizes and designs his ideas into an architectural whole when improvising. From Example 146, the three-section cadenza can be roughly concluded as follows:

(1) OPENING FLOURISH: I–V

a. After announcing itself via the fermata $\frac{6}{4}$ chord, the cadenza kicks off with non-thematic gestures by using arpeggios, scales, fugue technique, and other figuration for virtuosic display that grabs the audience's attention.
b. A big event, like the flourish figuration, continues toward or onto the dominant, sometimes by employing
    - Sequential suspensions: 4 –3, 9 –8, 7 –6
    - Circle of fifths
    - Dominant pedal

(2) MIDDLE THEMATIC DEVELOPMENT SECTION

a. Back to tonic
b. Developing motifs, from principal melodic section or transition and retransition, by applying:
    - Sequential suspensions: 4 –3, 9 –8, 7 –6
    - Circle of fifths
    - Dominant pedal
    - Applied chord sequences

- Repeating in different registers or changing modes

c. Crisis emerges with ascending bassline progressions, for instance, 4 –♯4 –5, with a stepwise motion toward the Cad $\frac{6}{4}$.

(3) CLOSING CADENTIAL SECTION: Cad $\frac{6}{4}$ – V_7 – I

a. Showdown with energy gain to energy loss, brilliant to cantabile, or fast to slow

b. Resolution with cadential trill

The next chapter will examine how figurations of distinct gestures and interrelated sections can be built up and interact in a number of sophisticated ways to make a cadenza as a whole, in the second movement.

CHAPTER ELEVEN:
CADENZAS IN SECOND MOVEMENT OF CONCERTI

In cadenzas found in concerto slow movements, Mozart favors a brief, one- to two-bar opening, using the principal melodic section of the first orchestra Ritornello, then repeats it with elaborations that move from the tonic to the dominant. The initial motif in this movement is reaffirmed through restating its element, opening up possibilities for adventurous harmonic turns.

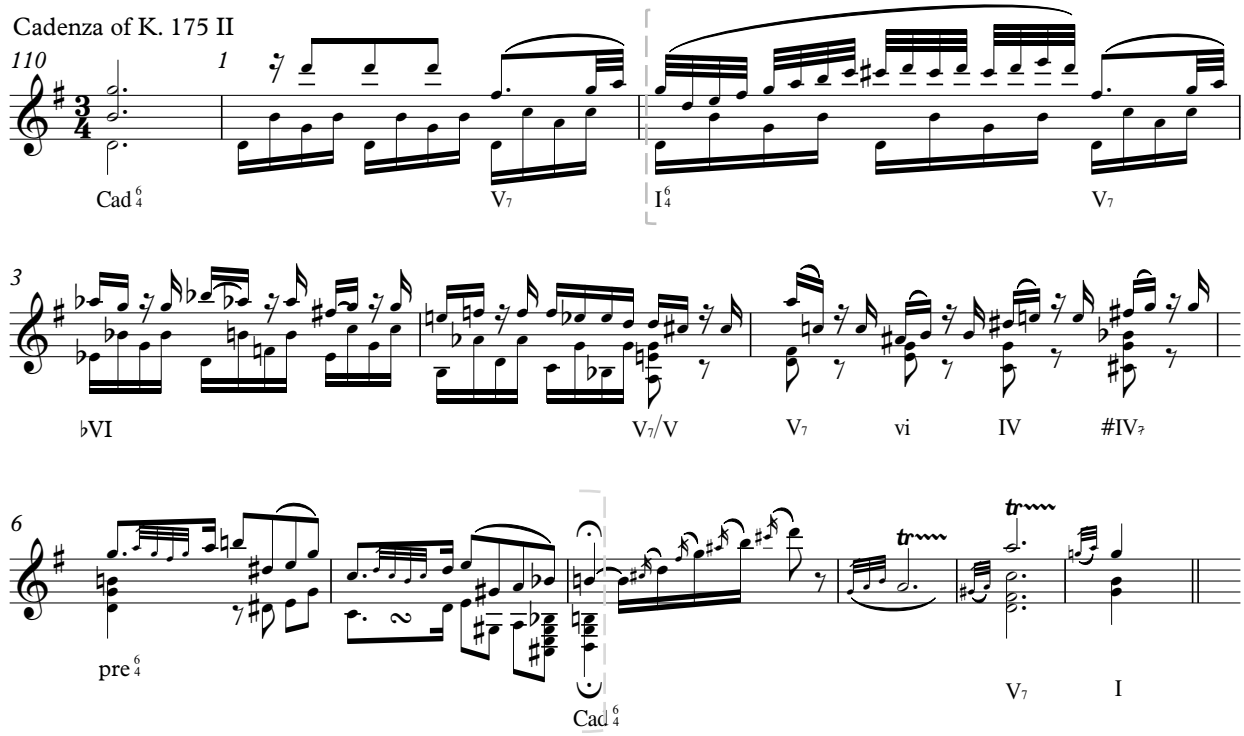
Affirming and Building on the Principal Melodic Section

This circular repetition is not new for Mozart: in their *Elements of Sonata Theory*, Hepokoski and Darcy mention the following with respect to Mozart's piano sonatas:
one of the "primary expressive factor[s] is the 'self-repetitive loop'… from a secondary but still important perspective the format of such themes, considered as wholes, is also in dialogue with the structural principle…This thematic strategy always consists of two sections: the initial loops themselves and the 'breakout,' an escape from the loop-pattern and the onset of a drive toward a differing goal."[1] A simple *loop*, is a brief initiative idea.

The following examples shows how Mozart utilizes the loop of affirming and building on principal melodic themes as those in K. 175, cadenza B in K. 414, and K. 415 (marked with dotted line on the Examples 147–149).

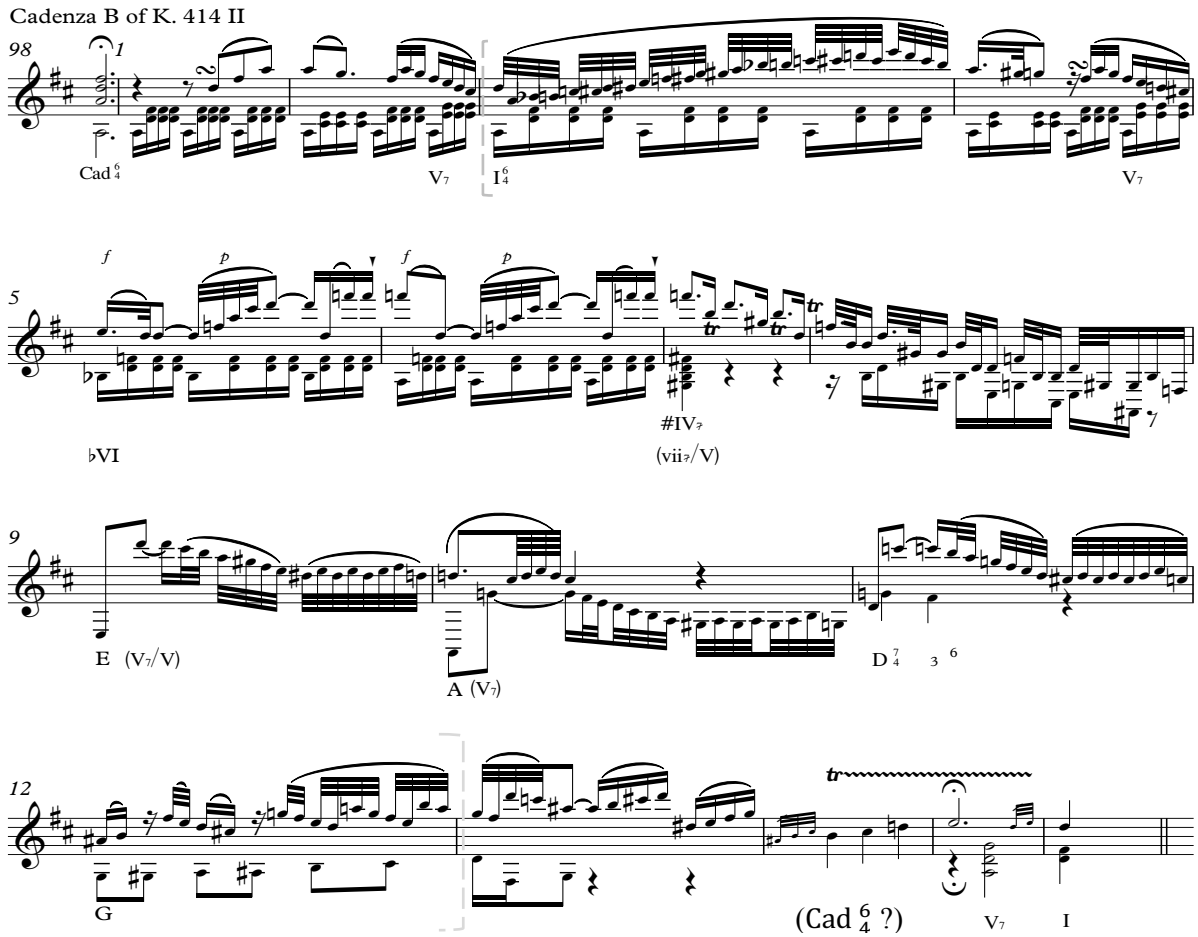
[1] James A. Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), 80–84.

Example 147: Mozart, Piano Concerto in D Major, K. 175, Second Movement, Cadenza

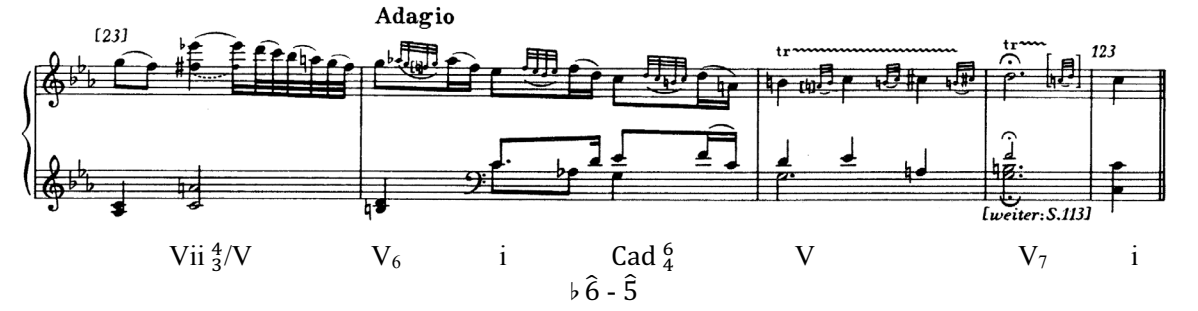


Rather than articulating clearly defined sections, short cadenzas from second movements usually feature a continuous whole. For instance, in the opening section, of cadenza A of the second movement of K. 414, instead of using I–V, Mozart uses I–♯IV to lead immediately to the second section, which starts on a six-four chord. Likewise, the Cad $\frac{6}{4}$ in the closing sections could be varied. For instance, in the second movement of K. 175, a pre-Cad $\frac{6}{4}$ in bar 6 is inserted (perhaps because the figuration already reached the highest register before the closing section, which usually starts in a low register to maximize the possibility and effect of energy-gain). In Cadenza B of the second movement of K. 414 (see Ex. 149), the Cad $\frac{6}{4}$ is ambiguously presented in bars 12–13. And in the second movement cadenzas of K. 271 (see Ex. 150), the Cad $\frac{6}{4}$ is placed on a weak beat that blends with ornamented descending phrases.

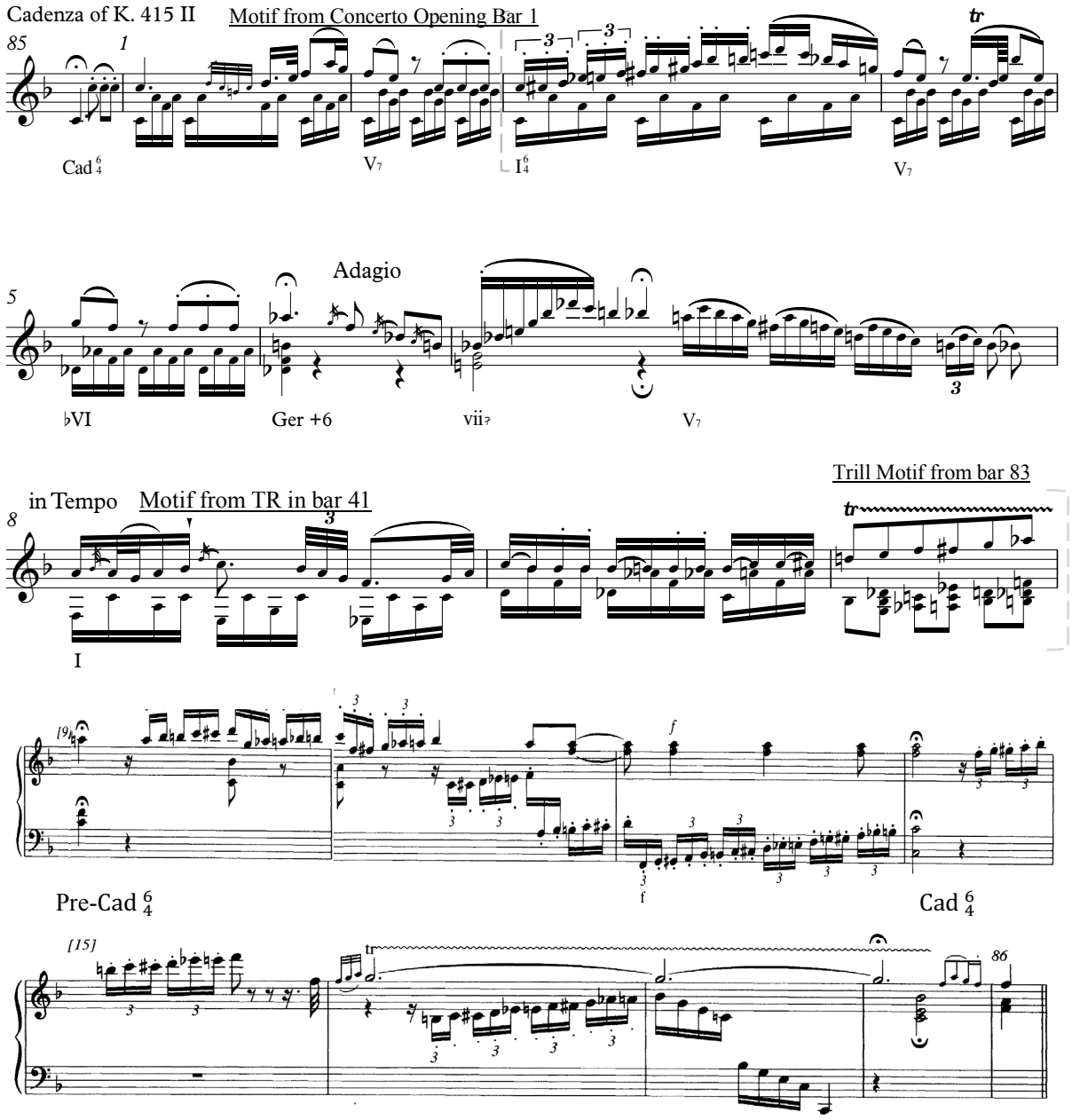
Example 148: Mozart, Piano Concerto in A Major, K. 414, Second Movement, Cadenza B



Example 149: Mozart, Piano Concerto in E-Flat, K. 271, Second Movement, Cad $\frac{6}{4}$, bars 23–27



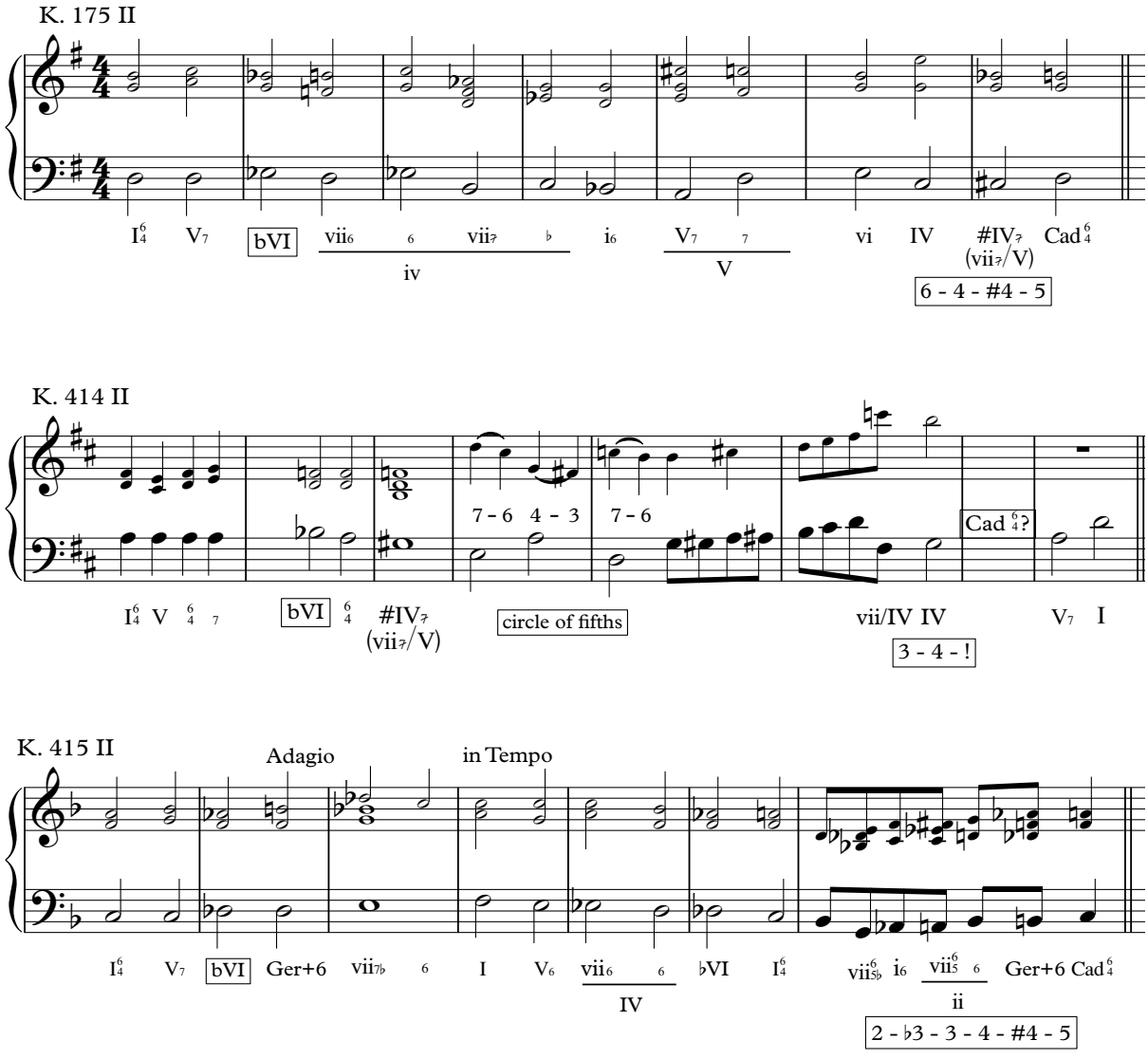
Example 150: Mozart, Piano Concerto in C Major, K. 415, Second Movement, Cadenza



Note that the principal melodic elaboration then moves to a flat VI chord. The flat submediant plays an important and flexible role in pivoting between modes. As shown in the paradigm in Example 151, it can be followed by applied chords, diminished ♯IV (the diminished seventh chord on the dominant), or an augmented sixth chord for a more dissonant harmonic

expression. In the second movement of K. 413 (see Ex. 154), for instance, the flat-VI chord is a type of "harmonic lubricant", taking place here within an already established minor mode. When the antepenultimate bassline ascends from 3 – 4 –5 to the closing section in bar 9, instead of a rhetorical pause on the Cad $\frac{6}{4}$, bar 10 continues with mode changes on iv and IV.

Example 151: Paradigm of Cadenza Middle Section and the Flat-VI Chord

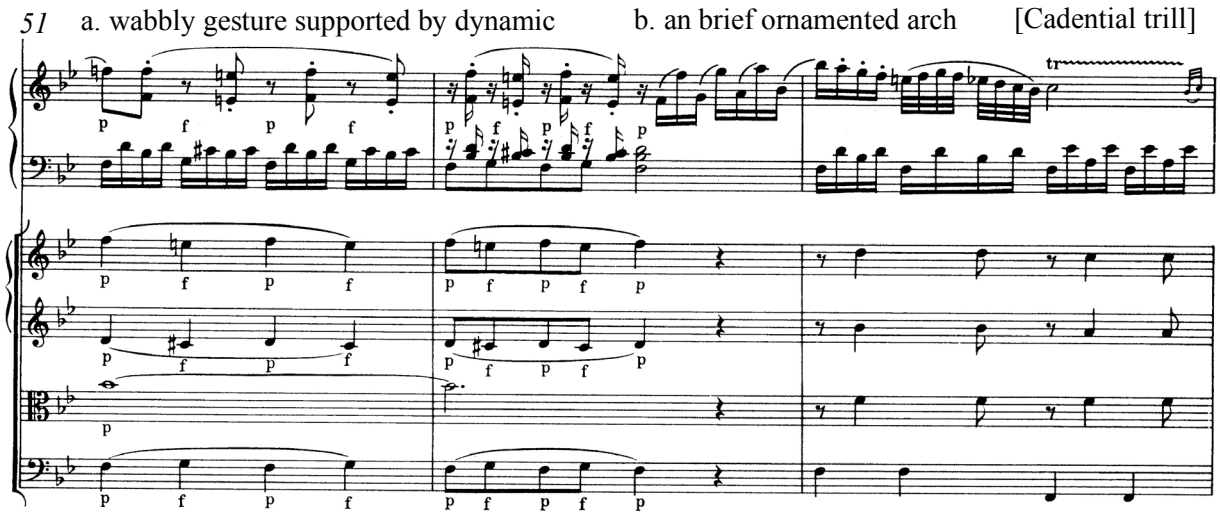


Harmonic Drama and Seamless Sections: K. 413 and K. 246

As mentioned earlier in his in cadenzas, Mozart utilizes motifs from transition or retransition, second theme, or fragments from pre-cadential passage in orchestral tutti ritornellos.[2] Although these gestures were not intended to be conspicuous thematic ideas in the concerto movement, the corresponding motivic development in his cadenza shows how Mozart carefully synchronized his musical materials with balance and wit. For instance, in the second movement of Piano Concerto in B-flat Major, K. 413, after a cadential trill in bar 53, a moment usually followed by an orchestral tutti just prior to the cadenza, Mozart takes a detour and inserts another seven measures moving onto the final ritornello (to be punctuated by the cadenza). At first glance, this passage sounds casully inserted; however, notice that Mozart intentionally introduces two new musical ideas before the cadential trill on six-four chord: a wavering crumbling gesture supported by dynamic marking and a brief ornamented arch made by short articulations, marked a and b in Example 152. These two ideas are in contrast to others that elegantly flow throughout the movement, creating a juxtaposition between irrational and rational expression, as mentioned earlier in Chapter Three. The cadential trill serves as a humorous response.

[2] See pages 302–4, Example 146: Cadenzas in First Movement Concerti and their Motivic Selection.

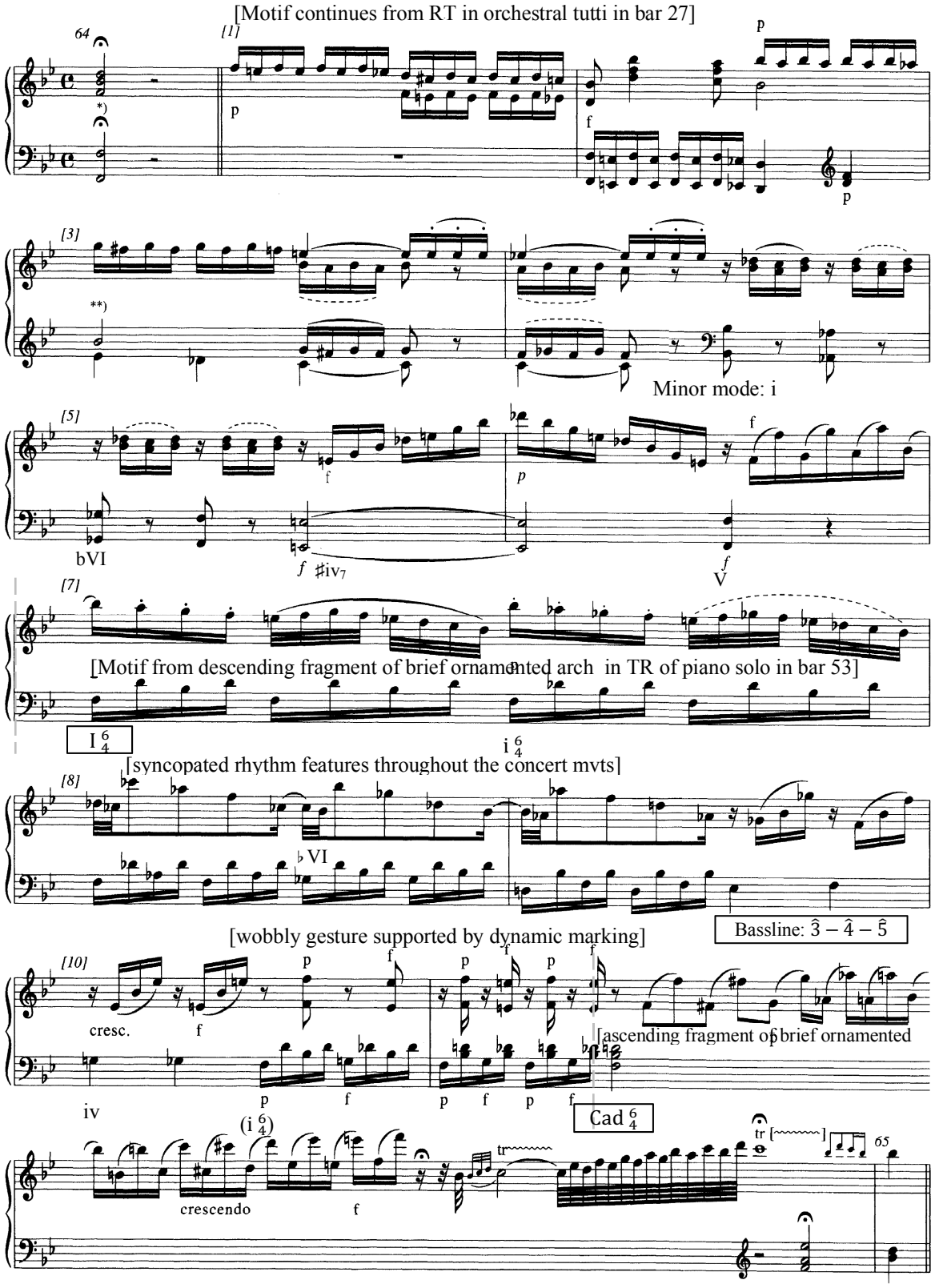
Example 152: Mozart, Piano Concerto in F Major, K. 413, Second Movement, $\frac{6}{4}$ trill, bars 51–53



These witty passages are explored and highlighted in his cadenza (see Ex, 154). After opening with figuration that continues what the orchestra had just played (a motif taken from the orchestral ritornello in bar 27), Mozart plays with changes in mode as he approaches the middle development section (note too that he shuffles the ordering of the motivic elements found in bars 51–53). The modal mixture provides a hint of melancholy fused with joy, which corresponds to the character of this concerto movement.

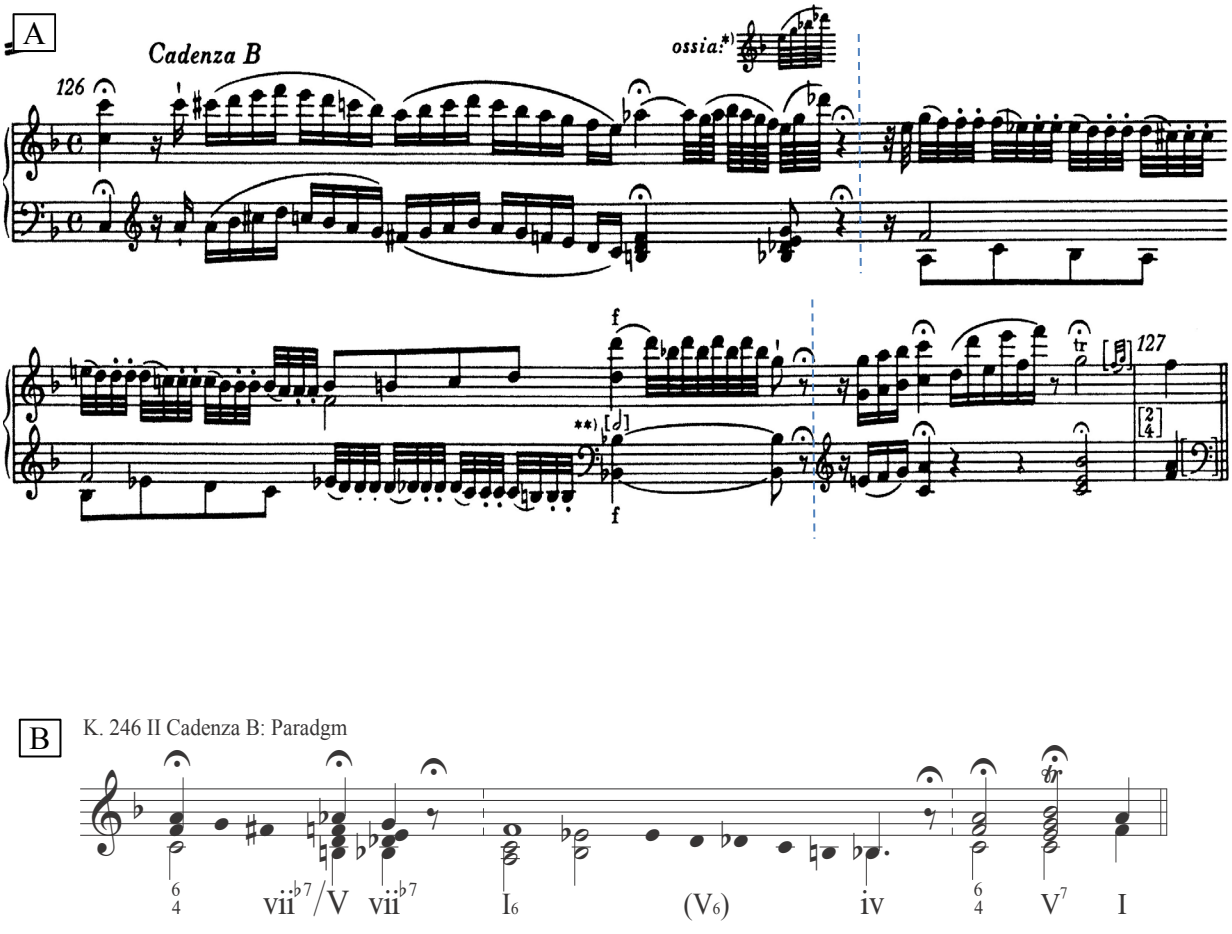
The ornamented arch motif (mentioned in Ex. 151b) is divided into fragments by its ascending and descending motion. The descending gesture is reprised in both major and minor mode with the continuation of Alberti accompaniment, supported by the syncopated rhythmic motif that runs throughout the movement. After the bassline ascends in a 3 – 4 –5 motion where an Cad $\frac{6}{4}$ was anticipated, the wobbly gesture is inserted (mentioned in Ex. 151a), just as the deceptive trill was inserted in the second movement. The ascending fragment of the brief ornamented arch is hightlighted in the closing section and transfers into an ongoing energy-gained gesture. The second cadential trill is reprised in an octave to corresponde to these motivic explorations.

Example 153: Mozart, Piano Concerto in F Major, K. 413, Second Movement, Cadenza



Cadenzas in the second movement of the Piano Concerto in C Major, K. 246 exemplify those featuring continuous musical flow to create a whole idea. Cadenza B is separated by a fermata on the rest; instead of pausing on the dominant, Mozart uses diminished or minor applied chords that suspend the audience's sense of time (see Ex. 154).

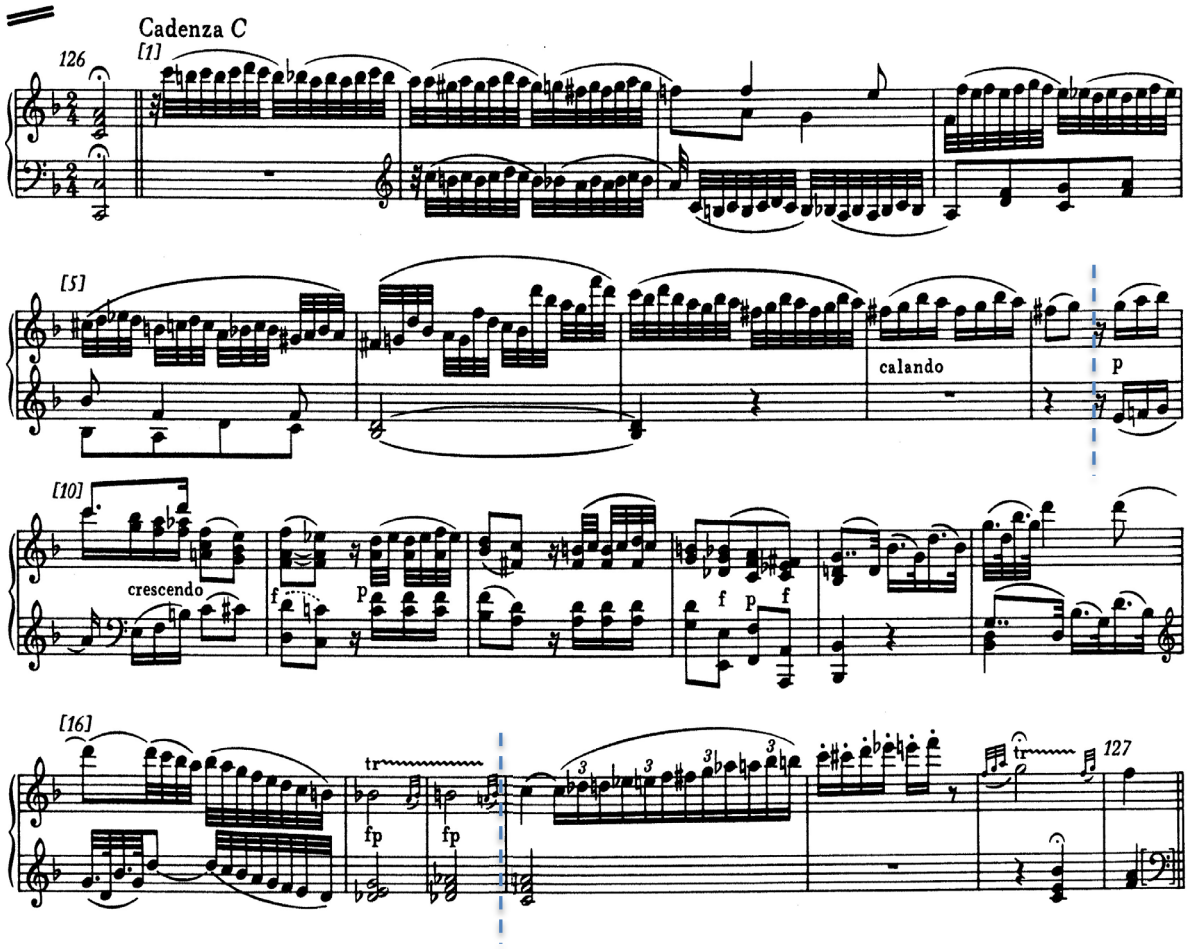
Example 154: Mozart, Piano Concerto in C Major, K. 246, Second Movement, Cadenza B



Cadenza C can be divided into three sections by dotted lines, as marked in Example 155. The second section starts with a motif from bar 17 in the concerto's Andante movement between the retransition in the orchestra ritornello and the piano solo, while the closing section starts on

the Cad $\frac{6}{4}$ chord. Although it can be analyzed by motivic reference and harmonic function, melodically, each section seamlessly connects to the next. Both cadenzas demonstrate a skillful improvisatory musical presentation that follows the grammatical norm, without showing distinct divisions.

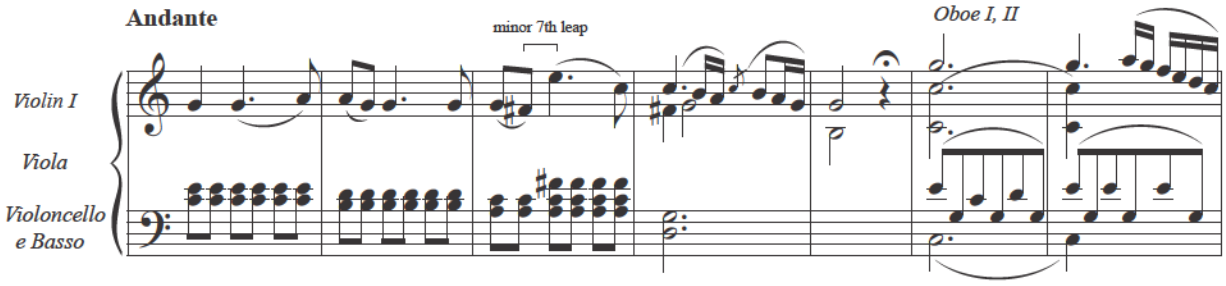
Example 155: Mozart, Piano Concerto in C Major, K. 246, Second Movement, Cadenza C



Varieties within the Sections of the Schema

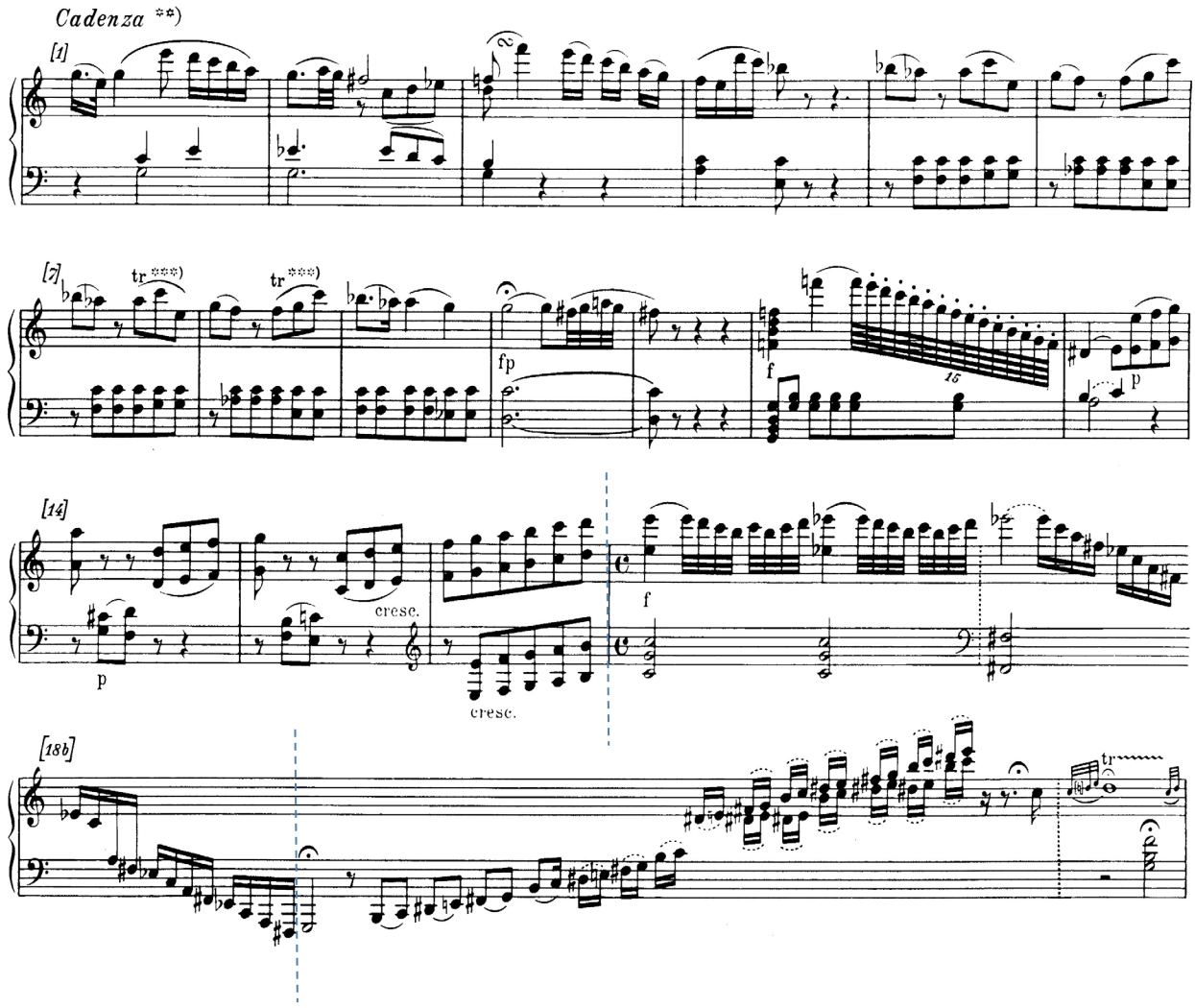
One of the most elaborate harmonic constructions in an Andante is the cadenza from Piano Concerto in G Major, K. 453. This cadenza creates lyrical and tender passages replete with pathos by means of several powerful modulations, extensive chromaticism, and with surprising harmonic leaps (for instance, in bar 3 in Ex. 156). Astonishment at each recurrence is created by a dramatic deceptive cadence and caesura pause. This gives weight to the music and communicates a more complicated and troubled affect than at first glance. Example 156 shows the opening of this Andante, which begins in an uncommon way with a descending bassline and harmonic swerve from major to minor mode, along with swings from simple declamations to passionate outbursts.

Example 156: Mozart, Piano Concerto K. 453 in G Major, II., Andante, Opening, bars 1–7



The figurations in three-section schema are interchangeable, as shown in the corresponding cadenza in K. 453's second movement. It opens with two developmental phrases on the dominant: the first phrase expresses a lyrical eight-measure musical line, and the second one utilizes a three-note motif that approaches the tonic of C major (see Ex. 157). The middle section features virtuosic figurations on major, minor, and diminished chords.

Example 157 (a): Mozart, Piano Concerto K. 453 in G Major, II., Cadenza



Example 157 (b): Piano Concerto K. 453 in G Major, II., Cadenza Paradigm

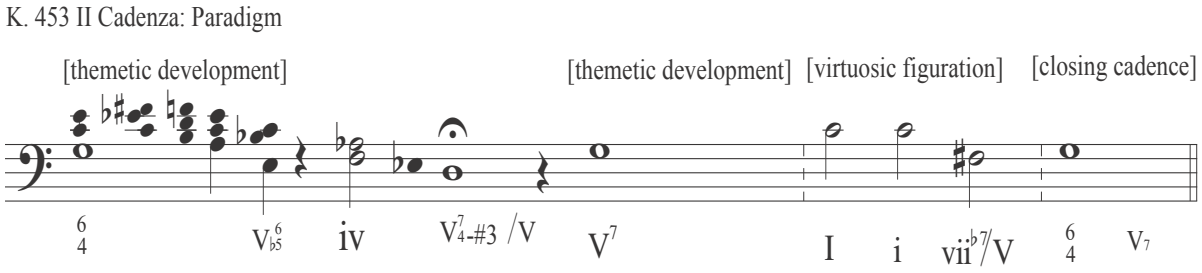


Table 17 summarizes the cadenzas from second movement concerti with respect to their length, harmonic motion, motivic characters, and cadential basslines in each suggested section. This chart provides a glimpse of how motifs were explored and highlighted. For instance, brief opening sections like those in the Concerto K. 175, Cadenza B in K. 414, and K. 415 use brief affirmations built upon principal melodic sections (marked as A&B).

Labels are provided for each second-movement cadenza according to each movement's characteristic features in Table 17. For instance, the lyrical expression in cadenza K. 453 shows an aria-like texture with spontaneous arpeggios as in a fantasia dream while the Adagio Cantabile in K. 415 use brief affirmations built upon principal melodic sections. Cadenza A in K. 414 and cadenza B in K. 271 each uses a chromatic motif and gesture throughout respectively, thus it is named a chromatic and a dissonant cadenza. The fantasia style is shown in passages without bar lines in the cadenza of K. 453 and Cadenza B in K. 246.

A longer opening section features dominant extension, as in K. 453 starts with a lyrical melody. A longer middle section is sometimes expanded by a sequential technique and the use of diminished chords as in Cadenza B in K. 414 and Cadenza B in K. 271; Cadenza A in K. 271 and the cadenza in K. 415 are extended with an Adagio in cantabile style. Regarding closing sections, a shorter one does not feature a complete caesura arch, such as in Cadenza B in K. 414 and K. 246.

Table 17: Cadenzas in Second Movement Concerti and their Motivic Selection[3]

key		Opening (I–V)	Middle (I–)	Antepenultimate Bassline	Closing (Cad $\frac{6}{4}$– V_7– I)	Characters
C	K. 453 Andante	13 bars An aria-like melody with lead and scale.	No bar line virtuoso	$\sharp\hat{4}-\hat{5}$	2 bars	An Aria-like Cadenza
G	K. 175 Andante ma un poco adagio	1 bar Brief motif refers to P_1 in the first orchestra tutti in bar 8	6 bars A&B	$\hat{4}-\sharp\hat{4}-\hat{5}$	4 bars extended trills	A&B
D	K. 414 Andante Cadenza A	7 bars Cadenza opens with continues fig. from the pre-cadential in the orchestra. Using two-note slur motif throughout the mvt. Bassline ascends and descends to # $iv°_7$	3 bars Motif from brief TR between first theme and second theme in bar 18	$\sharp\hat{4}-\hat{5}$	5 bars	Half-step cadenza (similar fig. in Cadenza B of K. 246)
	Cadenza B	2 bars Motif refers to P theme in bar 9	8 bars A&B. Sequential dev. uses circle of fifths and $\hat{7}-\hat{6}$ suspension.	$\hat{3}-\hat{4}$ and missing clear $\hat{5}$	3 bars missing clear Cad $\frac{6}{4}$	Chromatic Cadenza
F	K. 246 Andante Cadenza A	2 bars straightforward three-sectional figuration	1 bar	$\hat{3}-\hat{4}-\hat{5}$	1 bar	simple brief three-section
	Cadenza B	I– vii_7/V – vii_7 seamless sections	I – v/V Using two-note half step fig. as K. 414	$\hat{2}-\hat{3}-\hat{4}-\hat{5}$	No barline	Fantasia cadenza
	Cadenza C	9 bars seamless cantabile sections	9 bars	$\flat\hat{6}-\hat{5}$	4 bars	Cantabile cadenza
	K. 415 Andante	2 bars Opening motif refers to opening theme	8 bars A&B. for an Adagio passages. The middle dev. section marked in tempo with motif refers to TR on descending bassline.	$\hat{2}-\sharp\hat{2}-\hat{3}-\hat{4}-\sharp\hat{4}-\hat{5}$ (Chromatic ascending Scale)	9 bars Pre-Cad expansion using imitation.	Adagio (Cantabile) cadenza

[3] Abbreviations in this table: P = Principal Melodic Section; A&B= Brief affirming and building on the principal melodic section using flat-VI chord; fig.=figuration; TR=transition.

B-flat	K. 413 Larghetto	6 bars Trilled motif continues from the pre-cadential orchestra ritornello.	4.5 bars Reordering fragmental motifs from TR	$\flat\hat{6}-\hat{5}$	No barline	incessant sixteenth-note cadenza
cm	K. 271 Andantino Cadenza A	4 bars Bassline descends to vii°$_7$	13.5 bars Adagio and Andantino	$\sharp\hat{4}-\hat{5}$	4 bars missing clear Cad $\frac{6}{4}$	Andantino cadenza
	Cadenza B	10 bars chromatic	13.5 bars Motif refers to TR in bar 8 and bar 13, and dev. on dissonant chords using Neapolitan sixth, vii°$_7$, ♭VI, and vii° on applied V. The music climax marked Allegro	$\flat\hat{6}-\hat{5}$	3.5 bars Adagio Cad $\frac{6}{4}$ on weak beat	Dissonances cadenza

Visulization of Second Movement Cadenza

Motivic reference and development in the fast-movment cadenzas often remind me of finger-reaching gestures such as in *The Creation of Adam* on the Sistine Chapel ceiling by Michelangelo or the unforgettable moment in the end of movie E. T.; in second movement cadenzas, these thematic elements are always in unison with the character. The subject, elaboration, and affect of second-movement cadenzas inevitably connect me to the extravagant and eccentric eighteenth-century fashions of wigs and hairstyles of aristocratic ladies. The ornamentation and layers of decoration that reflects personal style rather than a broader, general style. Figures 30 illustrate collections of French fashion and costumes. Each style has its own terms, and each is decorated with ribbons, feathers, and flowers.

Figure 30: Eighteenth French Fashion and Costumes, *Coeffure Bourgeoise, Coeffure à la Colombe, Bonnet à la Pollitinette, Coeffure à la Raucour*, Esnauts et Rapilly, French, 1778[4]

[4] Gallerie des Modes et Costumes Français. 3e. Cahier des Modes Françaises pour les Coeffures depuis, 1776. C. 15 "Coeffure Bourgeoise, Coeffure à la Colombe, Bonnet à la Pollitinette, Coeffure à la Raucour
Accession number: 44.1260, The Elizabeth Day McCormick Collection; Gift to the MFA, Boston, 1944, Museum of Fine Arts Boston, Accessed April, 2018, http://www.mfa.org/collections/object/gallerie-des-modes-et-costumes-français-3e-cahier-des-modes-françaises-pour-les-coeffures-depuis-1776-c15-coeffure-bourgeoise-312530

Cadenza Closing Section and the Antepenultimate Bassline

The antepenultimate bassline in the orchestral approach to the cadenzas in Mozart's piano concerti has been discussed by Danuta Mirka in her recent publication "The Cadence of Mozart's Cadenzas."[5] Table 18 displays her systematic list and shows how Mozart varies his bassline according to the desired effect. For instance, the characteristic chromatic motion 4 – ♯4 – 5 mentioned earlier often appears in one of the outer voices; if an augmented sixth chord is employed, the typical basslines is 6 –5 and the ♯4 –5 move occurs in the upper voice. As in the third movement of K. 456, the texture at this moment is vigorous and actively persists in the subsequent drive to the cadenza opening.

Table 18: Danuta Mirka, Antepenultimate Basslines in Orchestral Arrivals on the Penultimate Chord before Cadenzas in Mozart's Piano Concerti[6]

Bass lines:	Occurrences in Mozart's concerto movements:
[3]–4–♯4–5	K. 175/i, K. 271/ii, K. 415/i, K. 449/i, K. 450/i, K. 459/i, K. 466/i, K. 466/iii, K. 482/iii, K. 537/i
[5]–6(♭)–5–♯4–5	K. 175/ii, K. 413/ii, K. 414/iii, K. 451/iii, K. 456/i, K. 456/iii, K. 459/iii, K. 467/iii, K. 488/i, K. 491/i, K. 595/i, K. 595/iii
[4]–5–6–♯4–5	K. 482/i, K. 246/i, K. 503/i
5–6–4–♯4–5	K. 450/iii, K. 453/i
3–6–♯4–5	K. 238/i
5–4–3–1–5	K. 451/i
1–6–♯4–5	K. 414/i
4–3–6–5	K. 238/ii, K. 271/i, K. 414/ii
4–♯4–5–♯5–6–5	K. 453/ii

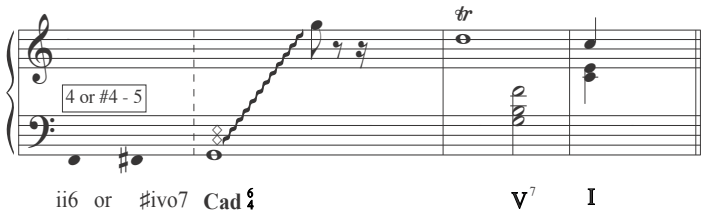
[5] Danuta Mirka, "The Cadence of Mozart's Cadenzas." *The Journal of Musicology* 22, no. 2 (2005): 292-325. doi:10.1525/jm.2005.22.2.292.
[6] Ibid., 301.

As mentioned earlier, Mozart closes his cadenzas with a Cad $\frac{6}{4}$ chord followed by cadential trills on V_7 – I and the Cad $\frac{6}{4}$ chord is approached by step. The bassline reenergizing of the Cad $\frac{6}{4}$ for those final moments leads to a decisive flourish on closing section. These basslines are variable like a rubber band. The following chapter of Practice V shows cadenza closing section with its antepenultimate bassline in his piano concerti.

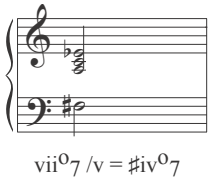
[Practice V] The Closing Cadence and Its Antepenultimate Bassline

Arranged in key order by increasing number of sharps as well as by simple to complex level, Practice V shows the cadenza closing sections with its antepenultimate bassline in Mozart's piano concerti and includes corresponding analytical paradigms. In his C-major cadenzas, Mozart uses either 4 or ♯4 moving upward to his closing sections (see Ex. 158). To create a more intense and striking effect, the root goes to the tritone, the augmented fourth from the tonic, which is the sharpened subdominant with a diminished seventh **(♯iv$^{o}_{7}$)** chord. Though it can be represented with the Roman notation vii$^{o}_{7}$/v (see Ex. 159), ♯iv$^{o}_{7}$ provides a clearer ascending stepwise motion from ♯4 –5 that approaches the dominant.

Example 158: Antepenultimate Bassline and Closing Cadence, C Major Cadenzas, Structure

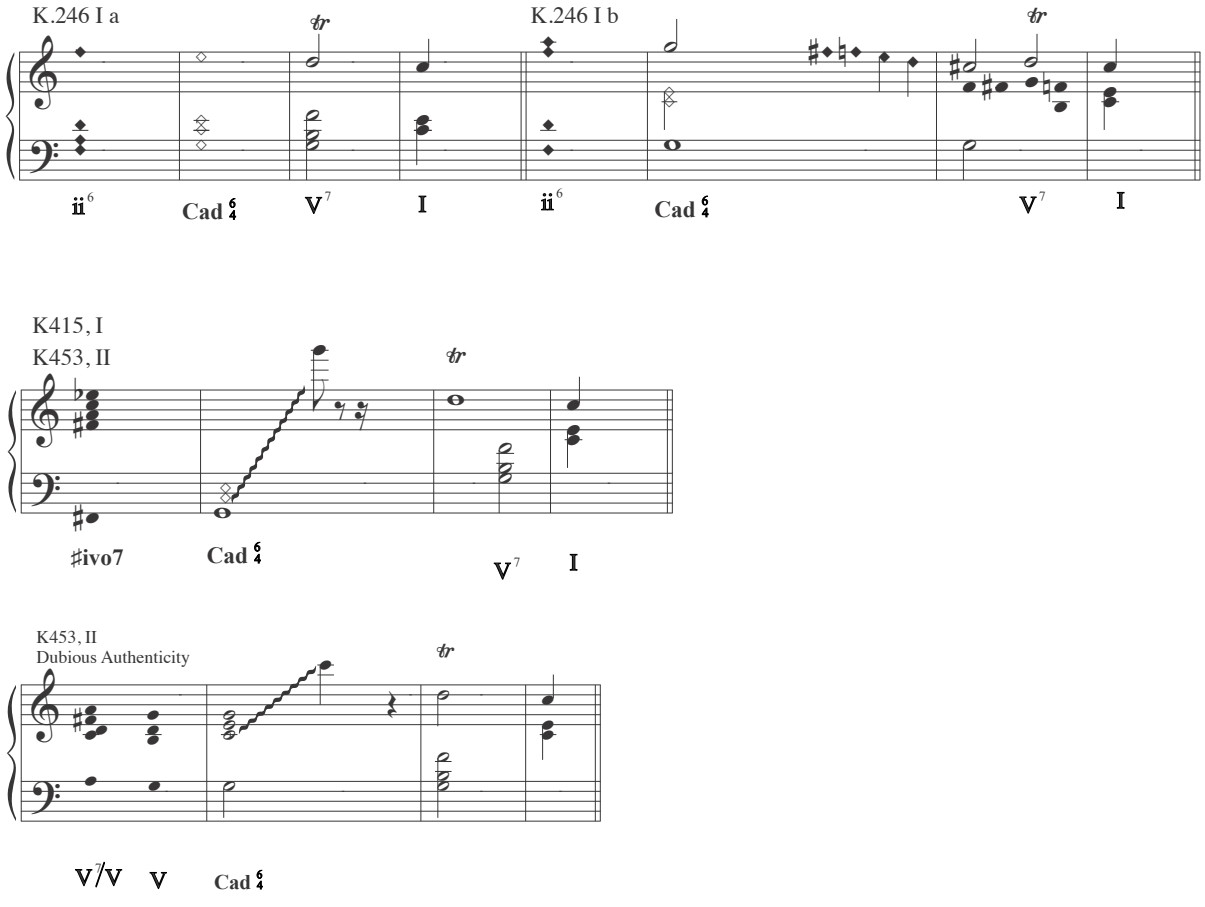


Example 159: vii$^{o}_{7}$/v and ♯iv$^{o}_{7}$

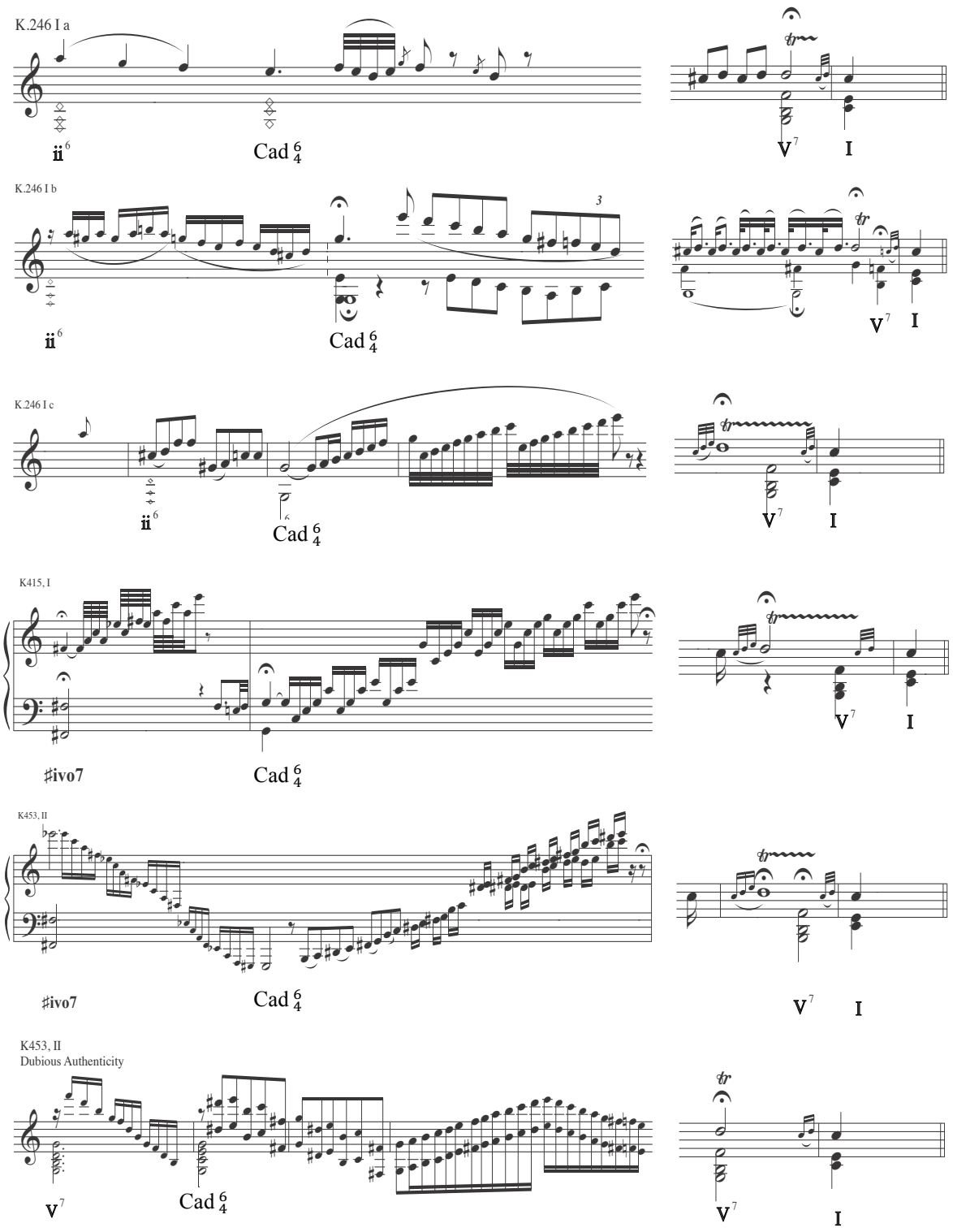


There are variations based on the basic cadenza structure. For instance, Example 160 shows how Mozart simply uses $\hat{4}$ on ii_6 chord when approaching $\hat{5}$ in his cadenzas in K. 246's first movement. In his cadenzas in K. 415's first movement and K. 453's second movement, Mozart employs the $\sharp\hat{4}$ with striking arpeggios that resolve to $\hat{5}$. The cadenza in the second movement of K. 453 is of questionable authenticity; instead of ascending to the Cad $\frac{6}{4}$, the bass moves down from an applied dominant and stays in the dominant. The dominant harmony makes it feel like an *Eingang* instead of a cadenza.

Example 160: C Major Cadenzas, Antepenultimate Bassline Analysis, 4 –5 or ♯4 – 5

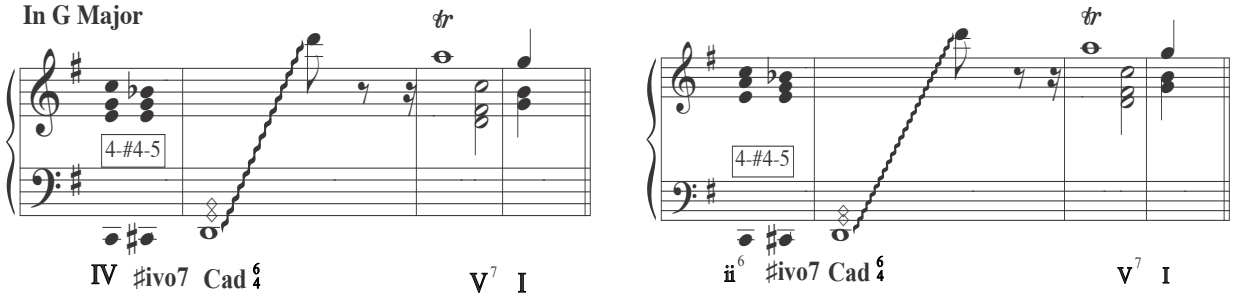


Example 161: Antepenultimate Bassline and Closing Cadence, C Major, ♯4 – 5

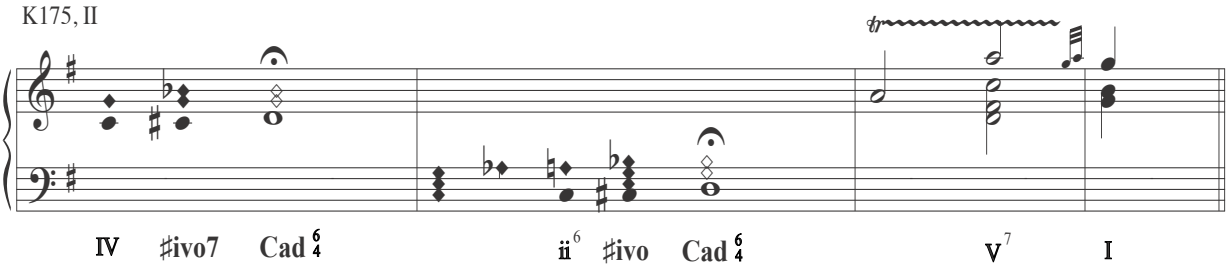


The antepenultimate bassline in his G major cadenzas shows a 4 –♯4 – 5 motion (see Ex. 162); the 4 is either on the IV or ii$_6$ chord to set up a half-step ascending motion to ♯iv$^{o}_{7}$ and the Cad $\frac{6}{4}$. Example 163 demonstrates the use of both IV or ii$_6$, respectively in the same cadenza, in K. 175's second movement. The cadenza with dubious authenticity in K. 453's first movement (see Ex. 164) shows no antepenultimate bassline; again, the dominant nature makes it closer to an *Eingang* than a cadenza.

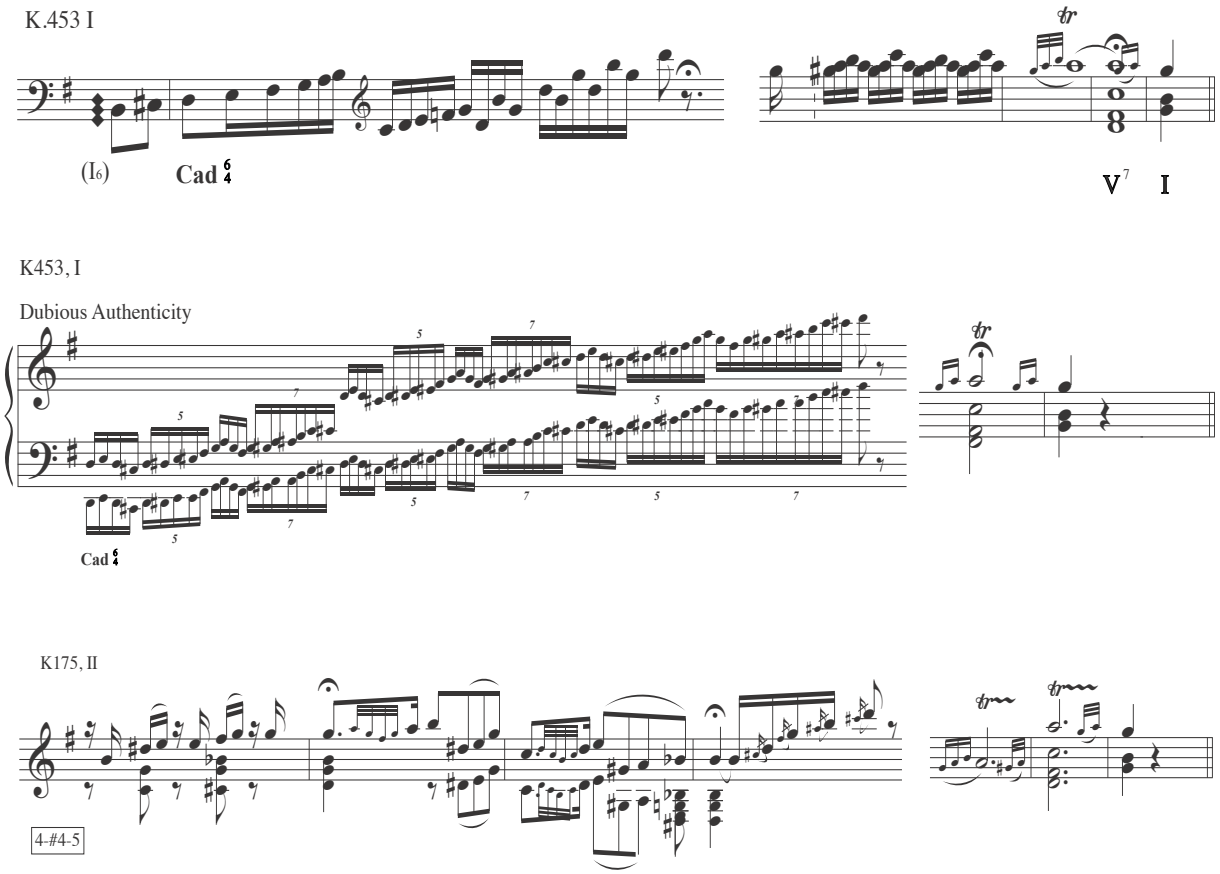
Example 162: G Major Cadenzas, Antepenultimate Bassline Analysis, 4 –♯4 – 5



Example 163: Cadenza from K. 175, II., Antepenultimate Bassline, 4 –♯4 – 5, Using IV or ii$_6$

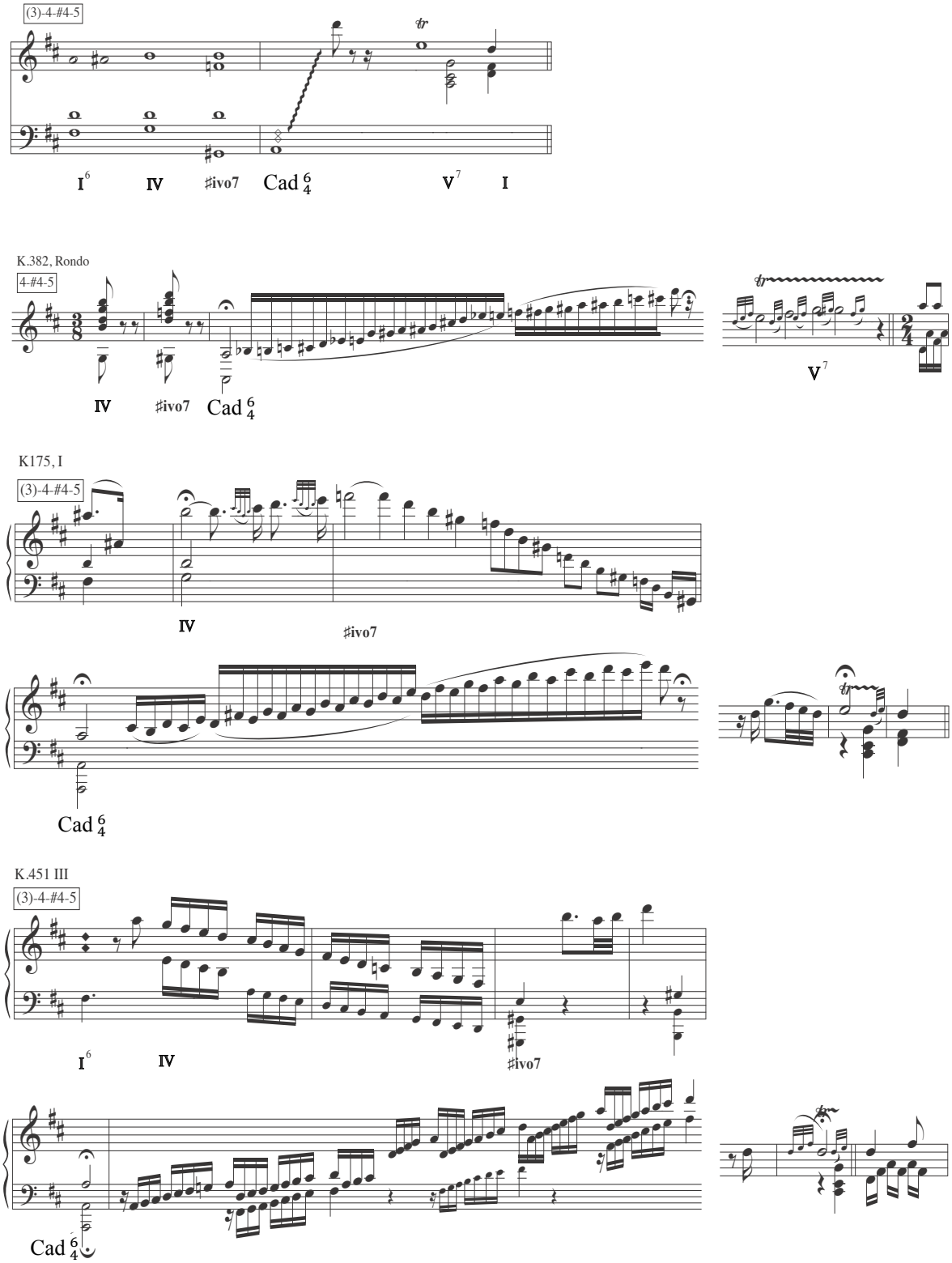


Example 164: Closing Cadence in G Major and Antepenultimate Bassline, 4 –♯4 – 5

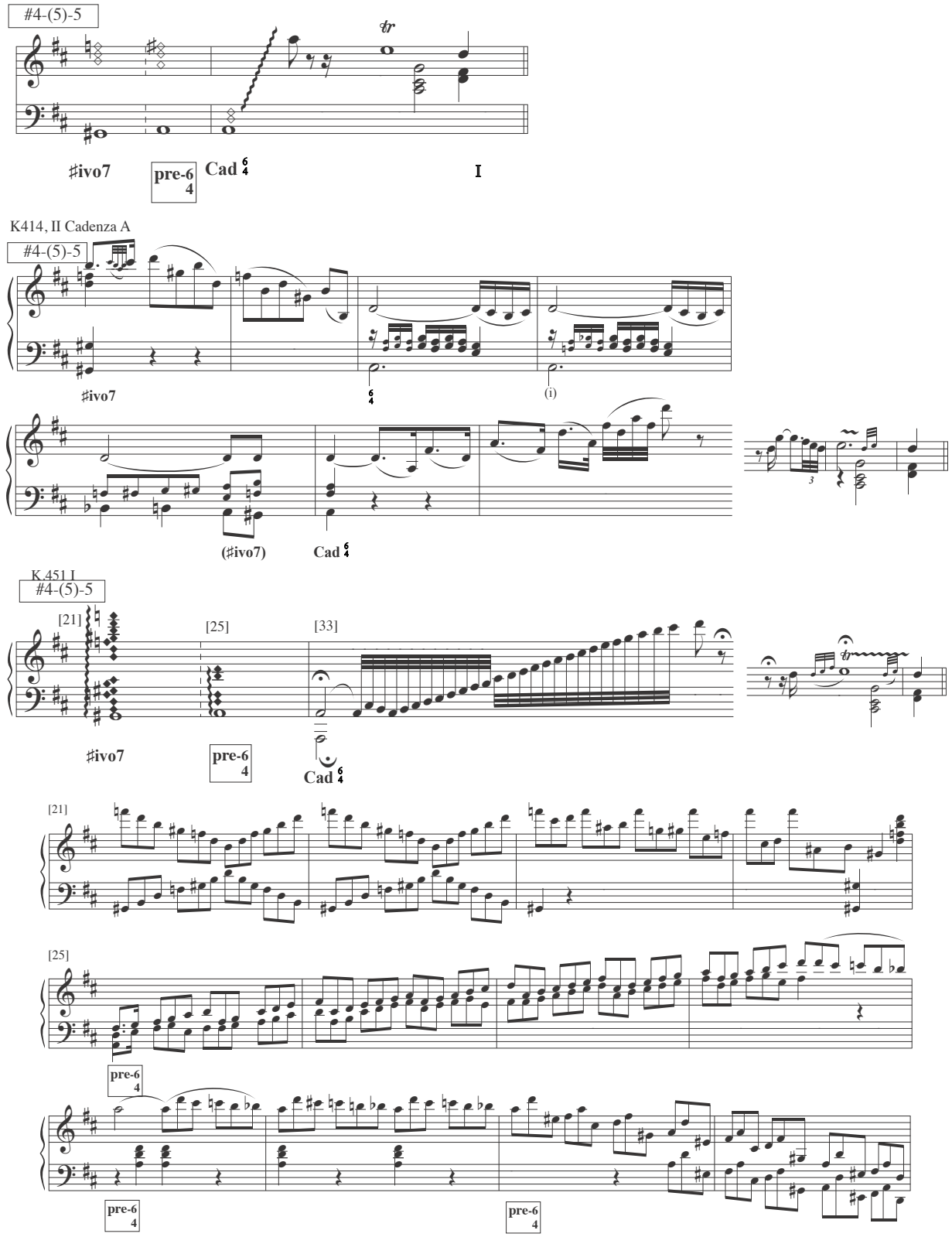


Antepenultimate bassline motions in his D major concerti display a collection of bassline variations, including dominant expansions. For instance, in Example 165, the basic bassline formula 4 –♯4 – 5 is prepared by a $\hat{3}$ on a tonic sixth chord; whereas Example 166 shows that before the big arrival on the 5, the Cad $\frac{6}{4}$ can be pre-announced by a six-four chord, marked pre-$\frac{6}{4}$ in the example, either by a brief insertion, as in the cadenza in K. 414's second movement, or by an eight-measure expansion using three figurations, as in the K. 451 first movement. The expansion can even be stretched by a 4 –3 sequence using a circle of fifths harmonic progression, as shown in Cadenza B in K. 414's second movement in Example 166.

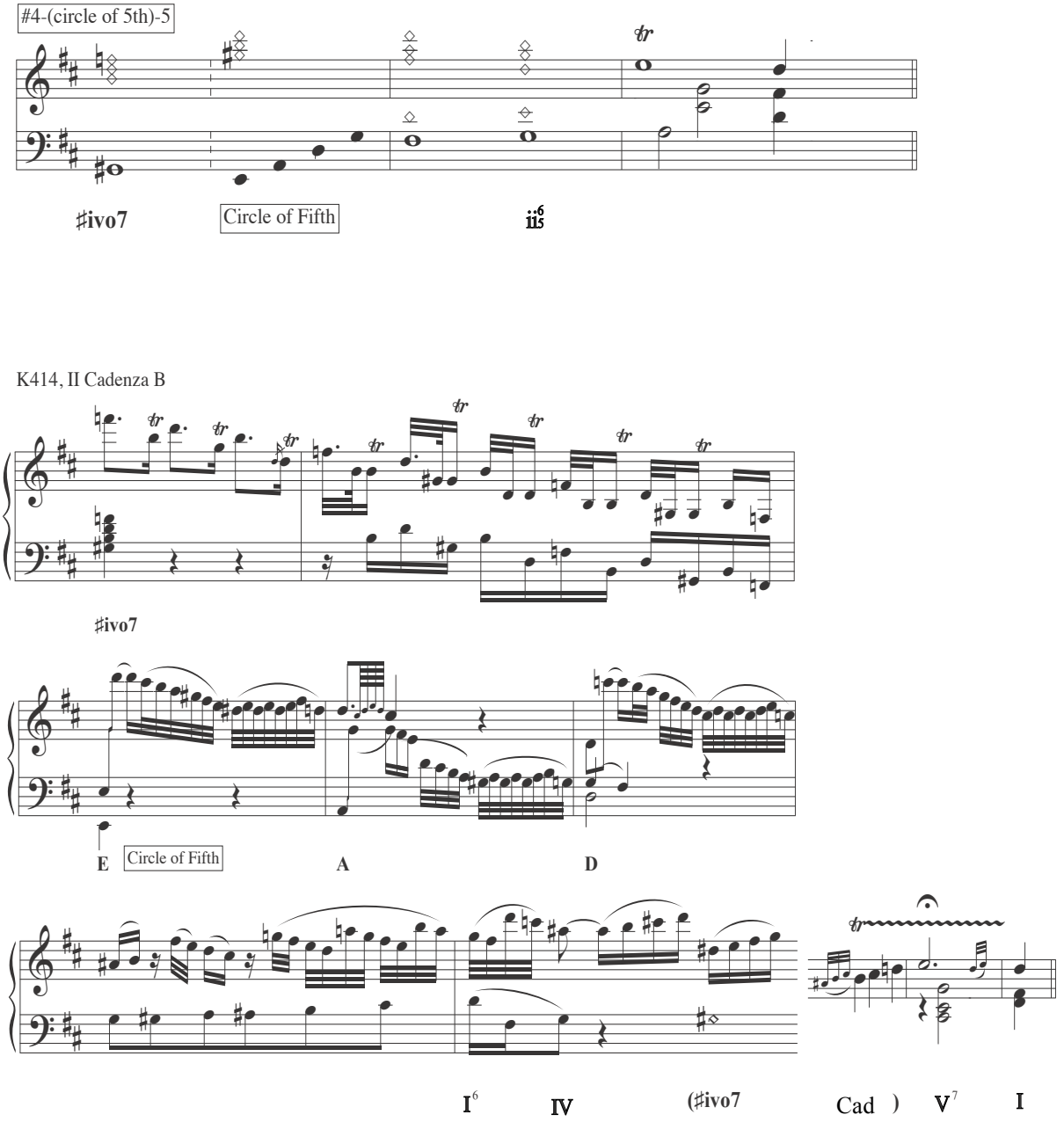
Example 165: Closing Cadence in D Major and Antepenultimate Bassline, 3 –4 –♯4 – 5



Example 166: Closing Cadence in D Major and Antepenultimate Bassline, ♯4 – [5] –5



Example 167: Closing Cadence in D Major and Antepenultimate Bassline, 4– [circle of fifths]–5

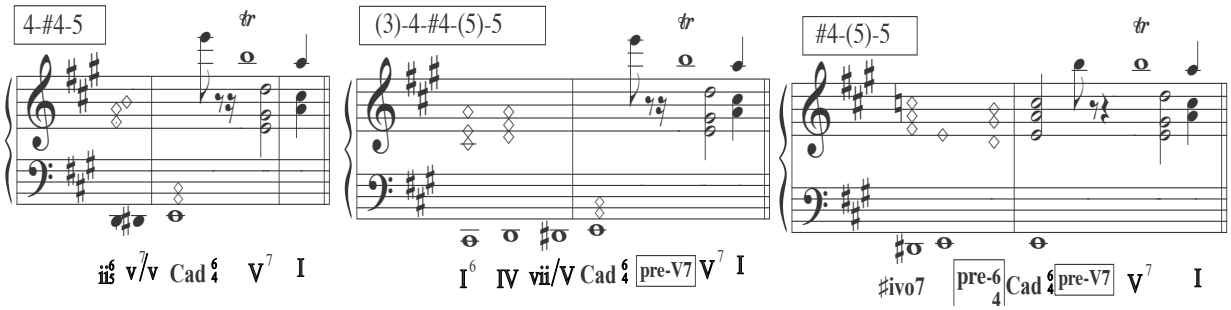


We have discussed the dominant expansion executed by adding a six-four chord before arriving on the Cad $\frac{6}{4}$, bassline in scale degrees ♯4 – [5] –5 motion in Example 167. The dominant seventh chord on the cadential trill can also be pre-announced as shown in Example 169. Thus, the dominant pedal is extended naturally to provide space for continuous musical ideas.

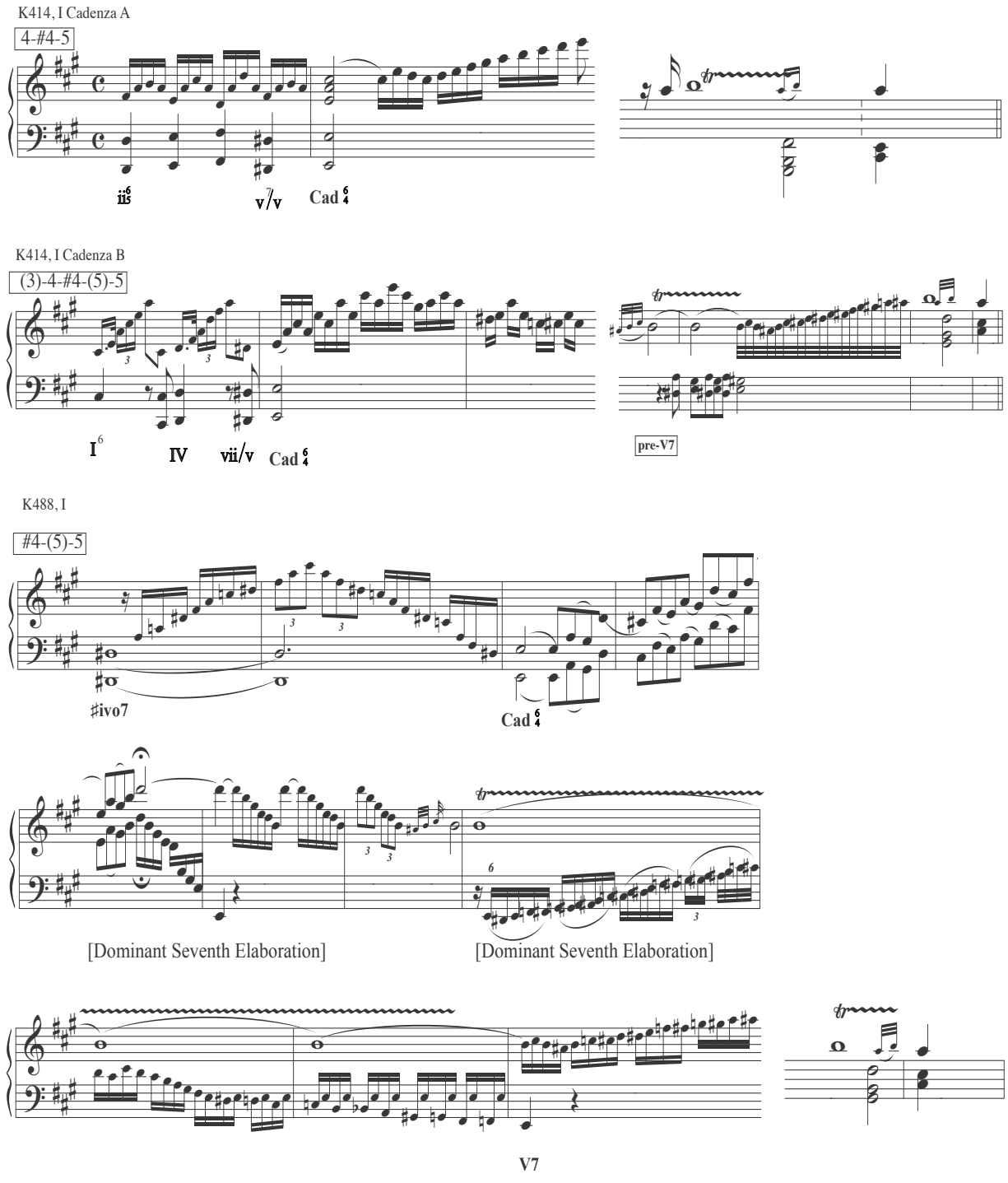
As mentioned earlier, each schema section can be extended or expanded. For instance, when the closing section is longer than three bars, it can be extended by adding a pre-cad Cad $\frac{6}{4}$, by inserting a pre-trill as in cadenza of concerto K. 488 or by prolonging the Cad $\frac{6}{4}$ with dominant chords as in cadenza B of K. 414's third movement.

The antepenultimate basslines in his A-major concerti show every possible combination that Mozart employs in his piano cadenzas. Example 169 shows what has been covered: the basic 4 –♯4 – 5 motion, the bassline with the dominant expansion and dominant seventh chord, marked as 4 –(5) – 5 – (5) and the use of the (3) – 4 –♯4 – 5 – (5).The dominant elaboration in K. 488, is unusual and beautiful as a fantasia moment. Examples 170 and 171 show how Mozart varies his characteristic bassline frame and modifies it into a creative integration of exciting musical presentations.

Example 168: Closing Cadence in A Major and Antepenultimate Bassline, Analysis

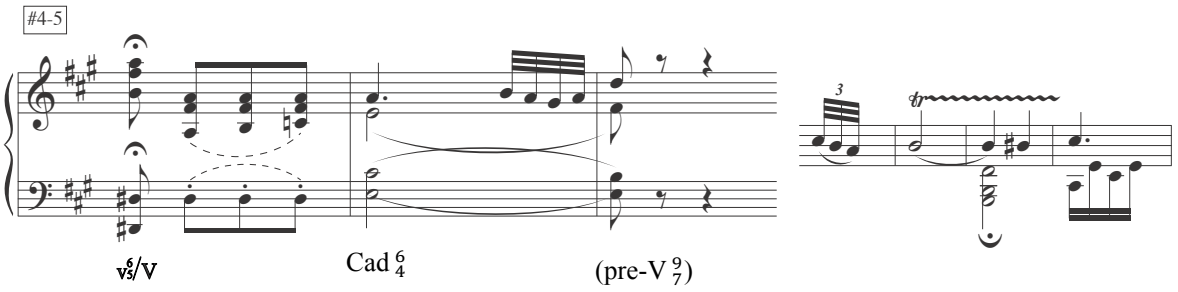


Example 169: Closing Cadence and Antepenultimate Bassline, A-Major Concerti

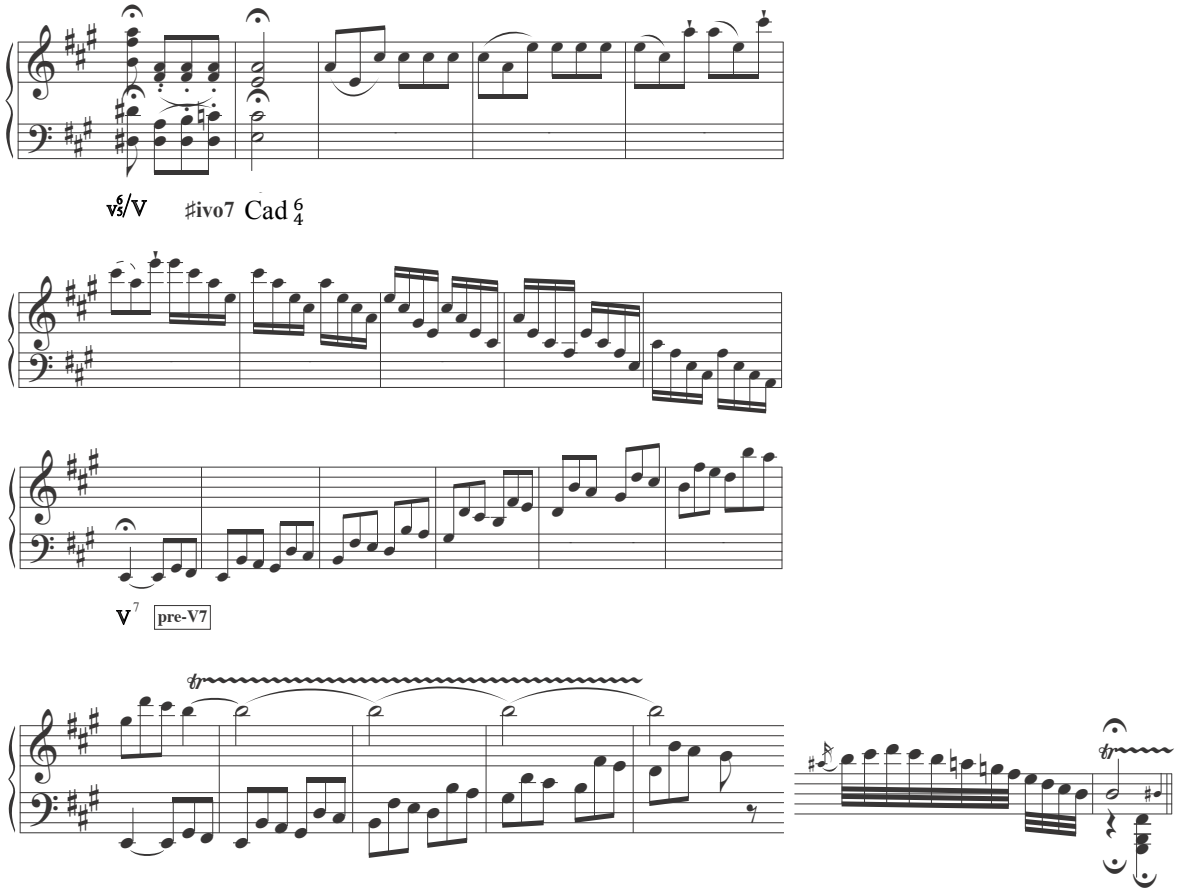


Example 170: Closing Cadence in A Major and Antepenultimate Bassline, ♯4 – 5 – (5)

K414, III Cadenza A



K414, III Cadenza B



Non-thematic figuration appears in the cadenzas' closing sections, Cad $\frac{6}{4}$ – V_7 – I. These examples display how Mozart prepared the climax of the Cad $\frac{6}{4}$ by preceding it with a low pitch point after which the bass ascends in stepwise motion, leading to the closing section. The closing section can be summarized in the following points:

a. Rhetorical pause on Cad $\frac{6}{4}$: final brilliant climax on energy-gain figuration followed by a showdown marked by rests.

b. Melodic cadential trill: enters as a realization.

c. The dénouement/V_7: The dominant seventh chord enters as a welcoming gesture for the orchestra. The timing of the dominant seventh chord depends on the desired effect and is usually sounded during the cadential trill.

d. *Nachschlag,* the closing turn: the unaccented turn attached to the end of the trill, bringing the soloist to the end of the story while simultaneously indicating the pick-up beat for the orchestra's reentry on the tonic.

CHAPTER TWELVE:
A NOTE ABOUT SPONTANEOUS IMPROVISATION

This study explores improvisation through a lens of cultural history and aesthetics, performance practice, and music theory and provides practical methodologies for a novice improviser to comprehend and master harmonic progressions, modes and schematic formulas in order to develop skills. Rather than simply duplicate extant patterns, this document aims to encourage each performer to create his own individual style of improvisation by providing a wealth of information and a toolbox of imaginative techniques. For live improvisation, there are some worthy aforementioned synergic processes, especially with respect to listening, collaboration, and enthusiastic experimenting.

A "control grab" is a useful technique that an improviser can use during performance at a moment when he feels a lack of creative inspiration or loses a sense of direction on stage. It thus functions as a safety net, providing the performer a moment to recollect or regain control, by refocusing the mind, allowing it to anticipate what to play next ~~to~~ and make a decision at a turning point during fast figuration. There are examples of these helpful tools throughout this document. In Chapters One and Two, the seventh-note in the caesura arch, the sharp seventh on the applied dominant via seventh on the dominant, functions as a pivoting point and shapes the musical ideas from energy gain to energy loss.[1] It is an indication for an improviser to switch figurations a clause closure. In figured bassline exercises in Chapter Four and Five, the accidentals anticipate mode changes and cadences. For instance, in Handel's exercise in Example 53, page 135, the middle development section goes through several brief modulations; the natural sign in bar 6 indicates that the harmony is going to F major, the dominant of its original

[1] See Chapter Two, page 35

key. In Chapter Six, one can see how the use of expressive dissonant intervals and arpeggiated gestures offset rhetorical silence— the rests—to provide repose between affective passages, and time to prepare for what comes next. When improvising *Eingänge* and cadenzas, as mentioned in Part IV, referring to primary melodies by using sequential or circle-of-fifths patterns may avoid an awkward moment when nervousness gets in the way. Practice and development of control grabs will promote a performer's confidence about improvising.

Another type of control grab is the team communication between the soloist and the orchestra, such as during the lead-in after a cadenza. In Part III, with respect to improvisation of *Eingänge*, the cantabile lead-in trill is a kind of indication for the orchestra to raise their instruments, as an upbeat for the theme's return.[2] For Mirka, the signal for the orchestra to prepare the theme's return is on the antepenultimate bass note, where the bassline ascends and approaches to the cadential six-four chord, from ♯4.[3] Sometimes, it is not easy for ~~the~~ orchestral musicians to identify a given six-four chord harmony as the crucial signal, and the lead-in trill might be too brief to react, so communication between the soloist and the orchestra is an established skill of critical importance.

There is a difference between listening in order to understand (the passive conventional judgments of aesthetic preference) and listening in order to design in ones mind (the active and creative exploratory process). Active listening enables the player to discover new interpretive connections including awareness of articulation or schematic formation. Deep listening manages, organizes, and maps out what has been heard or anticipates what is to come, and at the same time effectively facilitates the expansion of personal horizons. Although the skill of transforming active listening directly into playing is another psychological field to be explored, it is an

[2] Mirka, *The Cadence of Mozart's Cadenzas,* 316. For a discussion of the lead-in trill, see Chapter Eight, page 195.
[3] Mirka, *The Cadence of Mozart's Cadenzas*, 316.

essential, innate process. (As mentioned in the beginning of this document, musicians from the Renaissance, Baroque and far beyond learned music aurally). Aural imitation or intervallic practice, especially during a group drill, creates inspiring results, before-handing out any material to be analyzed visually.

A group learning environment encourages musicians, at whatever stage of experience in improvisation, by displaying different personal styles, experience, and strengths. Bringing together musicians with different backgrounds creates a supportive atmosphere that builds confidence, stimulates innovation, and prepares them for spontaneous improvisation on stage. Creativity, communication, and collaboration are of paramount importance to developing skills. Instead of being the responsibility of an individual musician, improvisation is a collective art dependent upon a host of factors such as accumulated depth of knowledge, creative spirit, an intimate acquaintance with the instruments and their capabilities, techniques, vibrant communication with fellow artists in a chamber or orchestral setting, and, even if performing alone, always having a tacit conversation with the audience.

When practicing, it is important not to feel limited by pressure to play what is right, beautiful, or impressive. Sparkling, live, spontaneous improvisation occurs when performers are given the confidence to express themselves freely in public, without inhibition or fear. Failure is the quickest way to improve; through failure, one can find personal strategies to reframe the risk. The idea of taking chances—notwithstanding the risk of failure—promotes health and well-being for classical musicians. Everyone is capable of improvising at some level, and musical improvisation is an accessible art. Instead of being intimidated by the idea of having to be interesting and compelling in each new situation or tasked repeatedly with the burden of creating something out of nothing, it is vital to-allow failure a role in the process. Instead of working out

of fear, work from a sense of possibility, and investigate everything—parse, dissect and incorporate models and styles until the language of improvisation is lucid. The biggest threat to creativity is fear, especially the fear of playing wrong. The traditional aim of the classically trained musician is to reproduce a written score with accuracy, whereas jazz musicians are trained to improvise, spontaneously creating their material within harmonic parameters. Instead of being terrifying, learning to improvise is liberating, and unlocks doors closed by restrictive boundaries retained from pedagogical approaches in classical music.

Ultimately, improvisation is about making discoveries, not only from the score, but also through related cultural, aesthetic, social, and philosophical concepts, as mentioned in earlier chapters. When performing, these processes of analytical elements will blend together and become part of the language spoken by the improviser according to his unique inventiveness. Improvisation is a lifelong practice and learning experience, and only when one is an enthused explorer who practices consistently with persistence, in light of experimental failure, will there be a break through.

CONCLUSION

Mozart takes advantage of the performer's role as soloist to juxtapose the boldest contrasts in the topical and affective content that is shaped rhetorically in his *Eingänge* and cadenzas. The significance of learning improvisation goes far beyond stylistic analysis, performance practice, and investigative discourse. To provide a strategy for developing skills in mentally designing ideas when improvising, methodologies including quantitative, strategic, and analytical skills have been presented in this dissertation with the aim to assist improvisers in generating ideas more quickly and getting more comfortable with the process. There are always exciting, creative, and inspiring subjects to be discovered when improvising. Like rhetoric itself, which Aristotle defined as "the faculty of discovering the possible means of persuasion in reference to any subject whatever,"[1] improvisation is an abiding source of fascination that links diverse cultural practices. Likewise, this document is a collection of visual art, linguistic metaphors, and rhetorical descriptions from drama or public entertainment used to permeate musical discourse with respect to the study of improvisation. There is neither a shortcut nor an endpoint for learning improvisation. To inspire and move others, an improviser must keep being inspired and moved himself, thereby creating exciting visions. As in the eighteenth century, an era full of experimental creativity and experienced elaboration, this document hopes to provide helpful approaches for encouraging musical improvisation that I, as a performer, continue to find stimulating when performing.

[1] Aristotle, *Rhetoric*, in 23 Volumes, Vol.22 translated by J. H. Freese, (Cambridge and London. Harvard University Press; William Heinemann Ltd. 1926), Rh. 1355b, http://www.perseus.tufts.edu/hopper/text?doc=urn:cts:greekLit:tlg0086.tlg038.perseus-eng1

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